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## MECHANISMS AND CHEMOPREVENTION OF OVARIAN CARCINOGENESIS PROGRESS REPORT

### INTRODUCTION

Due to its asymptomatic development and frequent diagnosis at advanced stages, ovarian cancer is the most deadly among the gynecological cancers. A better understanding of the early molecular events leading to the disease is of utmost importance for the development of strategies for its efficient early diagnosis and prevention, which could improve patient survival and quality of life. We have shown that DMBA-induced mutagenesis in the rat ovary, combined with gonadotropin hormone-mediated enhanced mitogenesis of the ovarian surface epithelium gives rise to lesions ranging from preneoplastic to early neoplastic and advanced ovarian tumors, which resemble the human disease. The goal of the study is to use this animal model to study the molecular mechanisms behind ovarian oncogenesis and to conduct a preclinical trial for its chemoprevention. The aims of the study are: 1) Determine the molecular genetic mechanisms behind ovarian oncogenesis in the DMBA/gonadotropin-animal model; 2) Determine the efficacy of a COX-2 inhibitor to prevent the appearance and/or progression of DMBA-induced ovarian lesions; and 3) Study the *in vivo* mechanisms of the putative chemopreventive effect of COX-2 inhibition. Genomic and mutation analyses, as well as other molecular biology assays will be employed to accomplish the objectives of the study.

### BODY

During the first year of support by this DoD-CDMRP grant, we have accomplished the following progress along the proposed aims of the study:

1. We have achieved a histopathological classification similar to the human and initiated the molecular characterization of the ovarian lesions induced in the rat ovary following local administration of low dose-DMBA with or without stimulation with gonadotropin hormones. We have demonstrated that hormone co-treatment leads to an increased lesion severity, which indicates that gonadotropins may indeed promote ovarian cancer progression. We have also shown that point mutations in the *Tp53* and *Ki-Ras* genes, which are characteristic of human ovarian carcinomas, are also present in the DMBA-induced ovarian lesions in the rat. Most importantly, the presence of such mutations in putative preneoplastic lesions confirms their precursor, clonal character. Additionally, we observed an overexpression of estrogen and progesterone receptors in "preneoplastic" and early neoplastic lesions and their loss in advanced tumors, suggesting a role of these receptors in ovarian cancer development. Our data indicate that this DMBA animal model gives rise to ovarian lesions that closely resemble human ovarian cancer and it is adequate for further studies on the mechanisms of the disease and its clinical management. The data from this work was included in a report that was recently published in *Cancer Research*<sup>1</sup>.

2. The goal of specific aim 1 of the study during the first year of support is to generate a large number of DMBA-induced ovarian lesions in the rat that could ensure statistical power and

significance of the findings; using microarray gene expression analysis to initiate their molecular classification into groups at different stages of neoplastic development. Immediately prior to the beginning of the first year of support by this grant (Nov.-Dec. 2003), using funds provided by the FCCC NIH-OC-SPORE, we initiated an experiment in which 160 female Sprague-Dawley rats at 6 weeks of age were subjected to bilateral survival surgery to the ovaries. Animals were separated into 2 groups: a) Control groups a1 (20 animals; no hormones) and a2 (40 animals; with hormones); beeswax-impregnated surgical sutures were implanted in the portion of each ovary that is contralateral to the fallopian tube; b) DMBA/hormone group: 100 animals; DMBA/beeswax-impregnated surgical sutures were implanted bilaterally in the ovaries of the animals as above. Two months following the surgical procedure, animals (a2 and DMBA) were subjected to 4 cycles of sequential administration of PMSG and hCG. These procedures are described in detail in the Experimental Design and Methods section of our grant proposal and in our recent publication (Stewart *et al.*<sup>1</sup>). All treated animals were maintained for up to 12 months from the survival surgical procedure, or until disease development and animal distress became apparent. Animals were sacrificed following guidelines approved by the FCCC IACUC committee, the NIH and the DoD-CDMRP.

The ovaries of all animals were harvested and fixed in 70% ethanol at 4°C for 18hr, following which they were embedded in paraffin. Three 5 $\mu$ m-thick sections ~50 $\mu$ m apart of each other were obtained from the two end-portions of each ovary, stained with H&E and subjected to histopathology examination to determine the presence of ovarian lesions. Based on their histopathological characteristics and stage of neoplastic development, the detected lesions were classified into 7 categories. Control ovarian surface epithelial (OSE) cells obtained from a1, a2 and DMBA/hormone ovaries generated 3 additional sample categories. So far, at least 3 samples per category have been processed further for laser-capture microdissection (LCM), RNA purification and amplification. Depending on the size of lesion and its epithelial cell component, 4-6 5 $\mu$ m-thick sections were generated from the organ portion adjacent to the corresponding H&E-stained sections. Similarly, 4-6 5 $\mu$ m-thick sections were also generated from control a1 and a2 ovaries. Tissue sections were deparaffinized, rehydrated, stained with HistoGene LCM Frozen Staining Kit (Arcturus), dehydrated and stored at -80°C until they were used for LCM. Sections were subjected to LCM to select epithelial cell component (2,000-5,000 cells) from corresponding lesions or normal OSE on CapSure HS LCM Caps using an AutoPix Automated LCM apparatus (Arcturus). Where necessary, individual cells were selected using a laser-beam diameter of 7-10 $\mu$ m. Total RNA was immediately isolated from the microdissected cells using the PicoPure RNA Isolation Kit (Arcturus), yielding ~5ng of total RNA. RNA quantification and integrity assessment were carried out by microfluidic electrophoresis on a 2100 Bioanalyzer using the RNA 6000 Pico Chip LabChip Kit (Agilent Technologies). Total RNA obtained from all microdissected samples was subsequently subjected to amplification using an Ovation Aminoallyl RNA Amplification and Labeling System (NuGen Technologies). The product of this amplification is anti-sense aminoallyl-substituted cDNA, which can be used for both oligonucleotide and cDNA microarray gene expression analysis, as well as for real-time qRT-PCR-based verification of the microarray results.

We had originally proposed to use rat oligonucleotide microarrays to be produced at the FCCC DNA microarray facility. In the past year, our facility had been experiencing problems with inconsistency in the quality and results of the mouse oligo-arrays generated with the MWG mouse oligonucleotide library. Because of this reason, the Human Genetics Research Program at FCCC has recently purchased the Affymetrix GeneChip system, a package offer that also

includes GeneChip microarrays at a considerably low price. This system includes the GeneChip Fluidics Station450 for automated microarray washes, the GeneChip Scanner 3000 for microarray image capture, and the GeneChip Operating Software (GCOS) V.1.2 for microarray image and data analysis. Instead of investing funds and effort in generating rat oligo-arrays of inconsistent quality at the FCCC microarray facility, we decided to use the Affymetrix U34A Rat Genome arrays. These contain 7,000 full-length sequences and 1,000 EST clusters from the UniGene database. Given the high quality of the GeneChip arrays and the fact that our Ovation-based amplification of RNA results into aminoallyl-substituted anti-sense cDNA, which is well adapted for oligo-microarray hybridization and gene expression analysis, we are confident that we will be able to obtain rapidly reliable and reproducible genomic data from our rat ovarian lesion samples. This will be further facilitated by our extensive expertise in data normalization and mining. We have recently developed an algorithm for efficient normalization of microarray-generated datasets from multiple experiments. This algorithm was tested both with radioactively labeled filter-microarrays as well as with Affymetrix GeneChip array data and we have demonstrated that it is superior to other conventional methods using mean, median or linear regression analysis<sup>2</sup>.

3. The goal of specific aim 2 of the study during the first year of support is to initiate a chemoprevention trial on the basis of the DMBA/hormone animal model of ovarian cancer developed and characterized by us. Given the space limitations of the Laboratory Animal Facility (LAF) at FCCC to house animals subjected to treatment with carcinogens, our plan was to purchase the animals for this study as soon as all animals treated for the purpose of specific aim 1 were sacrificed. This was planned for November-December, 2004. Animals are normally subjected to survival surgery/carcinogenesis 1-2 weeks after their transfer to our LAF and no later than 6-7 weeks of age. The goal of the proposed and approved by the scientific review committee chemoprevention preclinical trial is to test the efficacy of the COX-2 specific inhibitor *Celecoxib* to prevent the appearance and/or progression of DMBA-induced ovarian lesions. Recently, the results of large clinical trials with this and other COX-2 specific inhibitors have demonstrated serious toxicities and side effects on the basis of which all clinical trials have been put on hold. Because of this reason, we decided to postpone the proposed preclinical testing of *Celecoxib* in order to avoid the possibility of obtaining results that may no longer be relevant for the clinic. We have contacted the DoD-CDMRP Grants Manager, Dr. Naba Bora, and are currently discussing alternative agents to be used for the proposed preclinical chemoprevention study. A description of the changes in the design of the preclinical chemoprevention study will be submitted to the DoD-CDMRP for review and approval prior to its initiation.

## KEY RESEARCH ACCOMPLISHMENTS

The following are the key research accomplishments during the first year of support by this DoD-CDMRP grant:

- Local DMBA administration to the ovary induces ovarian cancer development with distinct preneoplastic, and neoplastic stages<sup>1</sup>.
- Gonadotropin hormones contribute to ovarian cancer progression<sup>1</sup>.

- *Tp53* and *Ki-Ras* mutations that are characteristic for human ovarian carcinomas are present in DMBA-induced preneoplastic ovarian lesions<sup>1</sup>.
- DMBA/gonadotropin treatments were used to generate multiple ovarian lesions at different stages of neoplastic development in 100 Sprague-Dawley rats. 60 additional animals were treated as controls (20 with vehicles alone, and 40 with DMBA-vehicle and gonadotropins).
- Ovarian epithelial cells were harvested from ovarian lesions at different stages of neoplastic development (10 categories including normal OSE) using LCM microdissection.
- Total RNA was purified from at least 3 samples per ovarian lesion category and subjected to linear amplification to generate aminoallyl-substituted anti-sense cDNAs. The latter will be used as probes to interrogate 8,000 unique rat genes on Affymetrix U34A GeneChip microarrays.

## REPORTABLE OUTCOMES

- <sup>1</sup> - Stewart, S.L., Querec, T.D., Ochman, A.R., Gruver, B.N., Bao, R., Babb, J.S., Wong, T.S., Koutroukides, T., Pinnola, A. D., Klein-Szanto, A., Hamilton, T.C., and **Patriotis, C.** Characterization of a carcinogenesis rat model of ovarian preneoplasia and neoplasia. *Cancer Res.*, **64**: 8177-83, 2004.
- <sup>2</sup> - Stoyanova, R. Querec, T.D., Brown, T.R. and **Patriotis, C.** Normalization of DNA arrays by Principal Component Analysis. *Bioinformatics*, **20**:1772-84, 2004.
- Sprague-Dawley rat ovaries (200) treated with DMBA and gonadotropins and containing ovarian epithelial lesions at different stages of neoplastic development.
- Total RNA purified from the epithelial component of above ovarian lesions and aminoallyl-substituted anti-sense cDNAs obtained through linear amplification of above RNAs. The latter can be used directly for microarray (oligo and cDNA) and real-time qRT-PCR gene expression analysis.

## CONCLUSIONS

We have demonstrated that direct application of a low dose of DMBA in the rat ovary, alone or combined with multiple cycles of gonadotropin administration, elicits a neoplastic process that affects mostly the OSE and leads to the progressive development of putative epithelial cell preneoplasia, serous low malignant potential (LMP) tumors, and invasive carcinomas. The similarity in histology and path of dissemination of the DMBA-induced rat ovarian carcinomas with those in the human, as well as the presence of gene mutations that are common in human ovarian cancer, demonstrate the validity of this animal model for further delineation of the mechanisms underlying ovarian tumorigenesis. Finally, DMBA-induced ovarian oncogenesis in the rat could be used to pre-clinically test new agents for the prevention and/or therapy of the disease.

**REFERENCE**

None

**APPENDIX**

Stoyanova, R., Querec, T.D., Brown, T.R., and Patriotis, C. Normalization of single-channel DNA array data by principal component analysis. *Bioinformatics*, **20**:1772-1784, 2004.

Stewart, S.L., Querec, T.D., Ochman, A.R., Gruver, B.N., Bao, R., Babb, J.S., Wong, T.S., Koutroukides, T., Pinnola, A.D., Klein-Szanto, A., Hamilton, T.C., and Patriotis, C. Characterization of a Carcinogenesis Rat Model of Ovarian Preneoplasia and Neoplasia. *Cancer Research* **64**:8177-8183, 2004.



## Normalization of single-channel DNA array data by principal component analysis

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### ABSTRACT

**Motivation:** Detailed comparison and analysis of the output of DNA gene expression arrays from multiple samples require global normalization of the measured individual gene intensities from the different hybridizations. This is needed for accounting for variations in array preparation and sample hybridization conditions.

**Results:** Here, we present a simple, robust and accurate procedure for the global normalization of datasets generated with single-channel DNA arrays based on principal component analysis. The procedure makes minimal assumptions about the data and performs well in cases where other standard procedures produced biased estimates. It is also insensitive to data transformation, filtering (thresholding) and pre-screening.

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### INTRODUCTION

The development of high-density DNA arrays (oligonucleotide and cDNA) has revolutionized our ability to characterize biological processes and samples genetically by monitoring the relative expression of thousands of genes simultaneously (Bowtell, 1999; Debouck and Goodfellow, 1999; Duggan *et al.*, 1999; Lander, 1999). To meet the challenges for interpretation of this complex data, sophisticated software packages have become available for analysis of the gene expression profiles, such as ScanAnalyze (Eisen and Brown, 1999), ArrayExplorer (Patriotis *et al.*, 2001) and ImaGene (Biodiscovery, Inc.). An important, but still unresolved, issue is associated with the normalization of the relative expression of genes across a series of microarray experiments. In order to compare the results from multiple samples, which is the ultimate goal of these studies, it is obligatory that the individual

array datasets be normalized to correct for the inherent experimental differences. The critical element in this process is the discrimination of the interesting, biological variation from the obscuring variation, which is related to the experimental conditions (Hartemink *et al.*, 2001). This is why the initial attempts towards normalization of array datasets relied on the concept that a group of genes could be identified *a priori* and serve as ‘housekeeping’ genes, assuming that their expression will reflect directly the obscuring experimental variation. As discussed in detail below, if such a subset of genes could be identified reliably, then well-defined normalization factors could be estimated to within the accuracy inherent in the measurements. Unfortunately, as shown by others (Butte *et al.*, 2001; Selve *et al.*, 2001) and by us in this report, this simple concept works only in very limited cases. (Here and in the rest of the paper, we will refer to the *a priori* specified housekeeping genes as ‘designated’ in order to distinguish them from those determined to be the ‘true’ housekeeping genes. The latter represent the subset of genes whose expression is invariant to the particular biological and/or experimental variables in the multiple microarray experiments being compared.)

The realization that in most of the cases the ‘designated’ housekeeping genes cannot be used for reliable normalization has spurred the development of alternative approaches for normalization. The majority of these approaches determine normalization factors on the basis of averages over the behavior of the entire set of genes measured (Schuchhardt *et al.*, 2000). Typically, these methods utilize the mean or median of the array intensities (Quackenbush, 2001) and linear (Golub *et al.*, 1999) or orthogonal regression (Sapir and Churchill, 2000). A variety of non-linear techniques were also proposed (Schadt *et al.*, 2000, 2001; Li and Wong, 2001; Bolstad *et al.*, 2003).

There is also a series of methods that identify a subset of genes in the data that can be assumed as housekeeping (Zien *et al.*, 2001; Kepler *et al.*, 2002). All these approaches perform

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satisfactorily when the following two assumptions about the data are met:

- (1) the majority of the genes (in the fitting segment for the non-linear approaches, or overall) are not affected by the experimental variables, i.e. they can all be regarded as housekeeping genes; and
- (2) the subset of differentially expressed genes are ‘activated’ symmetrically, i.e. the overall intensity change of up- and down-regulated genes is similar.

Here we present a novel normalization approach that performs satisfactorily even when the conditions above are not met, which is the most commonly observed scenario. In contrast to the methods requiring the selection of a baseline array, this method analyses the entire dataset simultaneously, and, as such, it is considered a complete data method (Bolstad *et al.*, 2003). The goal of the technique is to determine in a multi-array experiment if there is a subset of genes whose expression may be considered unaffected by the ‘interesting’ (biological) sources of variation and if there are such, to identify this set of specific, ‘data-driven’ housekeeping genes and use them for normalization. Briefly, if the results from each array measurement are represented in a multi-dimensional vector space where each axis is a different sample, then the entire experiment can be represented as a series of points corresponding to the strength of each gene’s expression in each sample measured. If a set of genes with an unchanged relative expression is present, their intensity levels will represent points along a straight line through the origin. We present a principal component analysis (PCA)-based method for identifying such a line, if one exists. The factors determined from the expression of these genes can be used to normalize the gene expression in the individual array datasets.

## MATERIALS AND METHODS

### Theory

Consider a gene expression dataset consisting of  $m$  arrays with  $n$  genes each. Let  $\mathbf{D}$  be the data matrix containing in its rows the measured expression levels, and let  $g_{ij}$  be the measured expression level of the  $i$ -th gene in the  $j$ -th array ( $i = 1, \dots, n$ ,  $j = 1, \dots, m$ ). We seek to identify a subset,  $S$ , of  $s$  genes ( $s \leq n$ ) whose expression remains constant over the experimental conditions of the study. Mathematically, for the genes in  $S$  the following equations hold:

$$q_j g_{ij} = c_i \quad \text{or} \quad g_{ij} = c_i/q_j,$$

where  $q_j$  is the  $j$ -th normalization constant and  $c_i$  is the true concentration of the  $i$ -th gene, which is constant across the samples. If we plot the points  $g_{ij}$  in an  $m$ -dimensional space, we can see that they lie along a line through the origin, which has projections along the axes of  $\{1/q_j\}$ . If we can find such a line, we will have identified our desired relative normalization

constants (relative since unless at least one of the  $c_i$ ’s is known, it is impossible to normalize the data absolutely).

We now turn to the problem of identifying the genes in  $S$ . The obvious method is to calculate the densities in the cloud of  $n$  data points in the  $m$ -dimensional data space, which represent the directions of  $n$  gene levels in the  $m$  observations. In reality, this is difficult because there are approximately  $N^{m-1}$  directions for examining if each orientation is divided into  $N$  segments. In order to reduce the dimensions of the space that needs to be examined, we use PCA to identify the directions along which the principal variations of the genetic expressions lie in the original  $m$ -dimensional space. We project the data points onto the first two of these directions and examine their angular distribution to determine if a line through the origin is present. Note that the original line in the full space need not lie in this plane as its projection into the plane will also be a line through the origin.

PCA is used commonly for reducing the dimensionality of complex data (Anderson, 1971) and has been used previously in the analysis of microarray data from time-course experiments (Alter *et al.*, 2000, 2003), for normalization of gene expression ratios obtained from two different microchips of two-channel arrays (Nielsen *et al.*, 2002) and for partitioning large-sample microarray-based gene expression profiles (Peterson, 2003). It is also an inseparable part for exploration of large genomic datasets (Misra *et al.*, 2002). Previously, we have applied the PCA technique for removing ‘unwanted’ variation in multi-spectral datasets (Stoyanova and Brown, 2002).

Briefly, PCA identifies the directions of the largest variations in the data via the principal components (PCs), and represents the data in a coordinate system defined by the PCs ( $\vec{P}_1, \vec{P}_2, \dots$ ), as follows:

$$\mathbf{D} = R_1 \vec{P}_1 + R_2 \vec{P}_2 + R_3 \vec{P}_3 + \dots + R_m \vec{P}_m, \quad (1)$$

where  $\vec{P}_j$  ( $1 \times m$ ) and  $R_j$  ( $n \times 1$ ) are row and column matrices;  $R_j$  contain the projections of the data along the PCs ( $j = 1, \dots, m$ ), generally called scores. Below, some of the relevant properties of the PCs are listed.

- (1)  $\vec{P}_j$  are eigenvectors of the data-covariance matrix (calculated around the origin, rather than around the mean) and are orthonormal, i.e.

$$\vec{P}_i \cdot \vec{P}_j = \begin{cases} 0 & \text{if } i \neq j \\ 1 & \text{if } i = j. \end{cases}$$

- (2) The PCs are ordered by the decreasing amount of variation in the data they explain. Let  $\Lambda_1, \Lambda_2, \dots, \Lambda_m$  be the eigenvalues of the covariance matrix ( $\Lambda_1 > \Lambda_2 > \dots > \Lambda_m$ ). Each PC explains a portion of the total variance of  $\mathbf{D}$ , proportional to its corresponding eigenvalue.
- (3) The magnitude of  $R_j$  is proportional to its corresponding eigenvalue,  $\Lambda_j$ .

- (4)  $\mathbf{D}$  can be represented sufficiently with fewer than  $m$  PCs [Equation (1)]. PCA provides a representation of the data in a lower-dimensional space of significant variables.
- (5) The PCs are a linear combination of the original data. The coefficients of this linear combination ( $R_i$ ) are typically referred to as loadings and represent the projections of the PCs along the axes of the original  $m$ -dimensional space.
- (6) The PCs minimize the squared distances of the variables (gene-expression levels) and themselves.

From the last three properties, it follows that the loadings of the first PC may serve as normalization coefficients of the arrays. In many cases, when the assumptions (1) and (2) (see Introduction) are met, as discussed in detail below, PCA can provide directly the normalization coefficients sought. In other cases, we can use the first two PCs to detect linear behavior in a subset of genes  $\mathbf{S}$  ( $s \leq n$ ) that are the 'true' housekeeping genes. PCA applied only to the genes in  $\mathbf{S}$  will identify the appropriate normalization line in the entire  $m$ -dimensional data space. Its projections can then be used as normalization factors.

The procedure [dubbed PCA(line)] tests automatically for the existence of and detects the group of genes, which are distributed 'tightly' along a line in the plane defined by the first two PCs. We chose this plane because by definition it contains the largest variations in the expression levels. Although the actual straight line of the desired normalization may not lie completely in this plane, its projection in the plane is also a straight line and will serve to identify the desired set of genes. To identify such a line, we divide the part of the plane that contains all the points into small angular segments and determine the number of data points (genes) in each segment. The segment(s) containing the data-driven housekeeping genes will contain a disproportionately large density of points. This procedure is described below and given in detail in Appendix 1.

Initially, we assume  $\mathbf{S}$  is an empty set ( $\mathbf{S} = \emptyset$ ). In the plane defined by  $\vec{P}_1$  and  $\vec{P}_2$ , we partition the angle through the origin defined by the genes with maximal and minimal components on  $\vec{P}_2$  in  $p$  equal angular segments. Let  $s_k$  ( $k = 1, \dots, p$ ) be the subset of genes in  $\mathbf{D}$ , that belong to the  $k$ -th segment ( $s_1 \cup s_2 \cup \dots \cup s_p = \mathbf{D}$ ). We recommend that  $p$  be set initially to contain on average at least 10 genes per segment. Let  $\theta_k$  be the angular densities defined as the number of genes in each segment,  $s_k$ , and  $M(\theta_k)$  and  $V(\theta_k)$  be, respectively, the sample mean and variance of  $\theta_k$ . Then, the density of the  $k$ -th segment is considered to be significant if

$$\theta_k > M(\theta_k) + \mu \sqrt{V(\theta_k)}, \quad (2)$$

where  $\mu$  is a parameter indicating the number of standard deviations above the mean that is required for significance. If a normal distribution of  $\theta_k$  is assumed, then  $\mu = 1.96$  will

correspond to a one-sided test with a type-I error of 2.5%. However, in most cases, due to different procedures for microarray image quantification as well as the specific pre-filtering of the data, the distribution of  $\theta_k$  is unknown. In cases where a normal distribution of  $\theta_k$  cannot be assumed, it is recommended that their histogram be examined and  $\mu$  be set appropriately. For added stringency of the test, the genes in segment  $s_k$  are assumed to be housekeeping genes only if  $\theta_{k+1}$  of the neighbouring segment  $s_{k+1}$  is also tested significant. Then the genes in the two segments are merged in  $\mathbf{S}$ , i.e.  $\mathbf{S} \equiv s_k \cup s_{k+1}$ . If the angular density of the genes of further contiguous segments is detected to be significant, then these genes are added to  $\mathbf{S}$ . After all segments are tested, PCA is applied to  $\mathbf{S}$  and the reciprocal values of the loadings of the resultant first PC are used as normalization coefficients.

If the procedure failed to identify at least two significant contiguous segments, then either all the genes in the data can be assumed to be housekeeping ( $\mathbf{S} \equiv \mathbf{D}$ ), or, in the extreme situation, the housekeeping genes are either too few to be detected or not existent ( $\mathbf{S} \equiv \emptyset$ ). In the first case, the loadings of the first PC from the initial PCA of  $\mathbf{D}$  are the true normalization coefficients and can be used for direct normalization. There is not very much to be done in the second case—the PCA-derived normalization would be as erroneous as the ones produced by any other linear technique. Let  $\lambda_1$  be the fraction (in per cent) of the first eigenvalue,  $\Lambda_1$ , from the total variance in the data. In this case, a low  $\lambda_1$  (in our experience  $<60\%$ ) will be indicative of a lack of normalizing genes.

### Biological samples (datasets)

*Human ovarian surface epithelial cell lines* Microarray datasets obtained from experiments with RNA of human ovarian surface epithelial (HOSE) cells were analyzed using Atlas 1.2 Human arrays (ClonTech). The details of array preparation and data extraction are described elsewhere (Patriotis *et al.*, 2001). Briefly, the HOSE cells were derived from a short-term primary cell culture obtained from one of the ovaries of an individual predisposed to ovarian cancer. The short-term HOSE cell culture was transduced with a Cytomegalovirus-based vector expressing the Simian Virus-40 large T-antigen. As a result, the *in vitro* lifespan of the cells, while still 'mortal' (118M), was considerably extended, leading to the spontaneous outgrowth of an 'immortal' non-transformed cell line (118Im). Following multiple passages in culture, the 118Im cell line gave rise spontaneously to cells that acquired anchorage-independent growth characteristics and, ultimately, the potential to grow tumours *in vivo* when inoculated in nude mice (118NuTu) (Frolov, A. *et al.*, unpublished data). In the first experiment, the cDNA probes were derived from total RNA purified from 118M, 118Im and 118NuTu. In the second experiment, microarray data were obtained from 118NuTu cells treated for different lengths of time (0, 24, 48 and 72 h) with the synthetic retinoic acid derivative Fenretinide (4-HPR) (Moon *et al.*, 1979).

### Lymphoma data (LD)

The dataset was constructed from the supplementary datasets of Golub *et al.* (1999). The microarray measurements were performed with RNA of samples obtained from bone marrow and peripheral blood from patients with acute lymphoblastic leukemia (ALL) or acute myeloid leukemia (AML) at the time of diagnosis using high-density oligonucleotide Affymetrix arrays. In the paper referred to, the data were normalized by pair-wise linear regression (LR) between the first sample (baseline) and the rest of the samples in the dataset. Only genes with satisfactory quality (marked with 'P' in the datasets provided) in each pair were considered for the regression. The normalized datasets, as well as the normalization factors, are supplied at <http://www-genome.wi.mit.edu/cgi-bin/cancer/datasets.cgi>. The data used here were non-processed and 'non-normalized', and the combined datasets resulted in a data matrix containing 72 arrays and 7129 genes.

### Simulated data

The values in the simulated datasets were chosen to be realistically probable, based on our experience with data obtained with the Atlas 1.2 CLONTECH arrays (Patriotis *et al.*, 2001). The number of genes was set to 500, in agreement with our observation that between 30 and 50% of the genes are expressed in any of the samples investigated in our lab. In the first array, the expression levels,  $g_{i1}$  [in arbitrary units (a.u.)], were simulated using the relation  $g_{i1} = 2^u$ , where  $u$  is uniformly distributed between 1 and 16.

In all simulated datasets of pairs of arrays a multiplication factor of 1.2 was applied to the second array, equivalent to  $q_1 = 1$  and  $q_2 = 1.2$ . Gene intensities were assumed to be background-corrected, and (unless noted otherwise) signals with intensities less than 200 were zeroed (thresholded).

### 'Noise' data

The sources of noise in microarray datasets are multiple and complex, and they contribute simultaneously with variable amounts to the total variance in the data. Generally, the total noise contribution to the measured signal represents a variable mixture of the contribution of two components: one is independent of gene intensity and affects the expression of all genes equally, and the other is gene-dependent and increases with the magnitude of the gene expression. To investigate the contribution of noise to the process of normalization, we simulated two pairs of replicate arrays, as described above. Random noise was added to each array. In the first set, the noise was gene independent ( $N_1$ )—uniformly distributed random noise between -2500 and 2500—and in the second set, a gene-dependent ( $N_2$ ), uniformly distributed noise whose magnitude was  $\pm 10\%$  of the gene intensities. Formally,

$$\begin{aligned} N_1 &= -2500 + 5000u \\ N_2 &= \frac{g_{i1,2}}{10}(2u - 1) \end{aligned} \quad u = U(0, 1). \quad (3)$$

### 'Signal' dataset 1

'Signal' dataset 1 (SD1) contained two pairs of simulated arrays. The first pair satisfied conditions (1) and (2) (see Introduction) by choosing a substantial number of the genes to be housekeeping (250) and the number and magnitude of change of up- and down-regulated genes to be equal. The second pair was constructed to illustrate a scenario where these assumptions are not met: the housekeeping genes (150) were not a majority, and more genes were 'up-regulated' (200) than 'down-regulated' (150) (the details about the simulated up- and down-regulation are given in Appendix 2). Two independent sets of random noise were added to each array, generated as the sum of half of both gene-dependent and -independent noise [Equation (3)], i.e.  $\frac{1}{2}(N_1 + N_2)$ .

### 'Signal' dataset 2

'Signal' dataset 2 (SD2) contained eight arrays with 500 genes each. The first array in SD2 was generated randomly, as described above. The gene expression levels of the remaining seven arrays were generated with the idea of recreating a scenario where progressive changes occur in the studied samples (e.g. time-response to treatment or undergoing a process of immortalization and malignant transformation). The details of simulation parameters for up- and down-regulation are given in Appendix 3. The arrays were multiplied with coefficients generated at random between 0.3 and 3. Finally, random noise, generated as described for SD1, was added to each array.

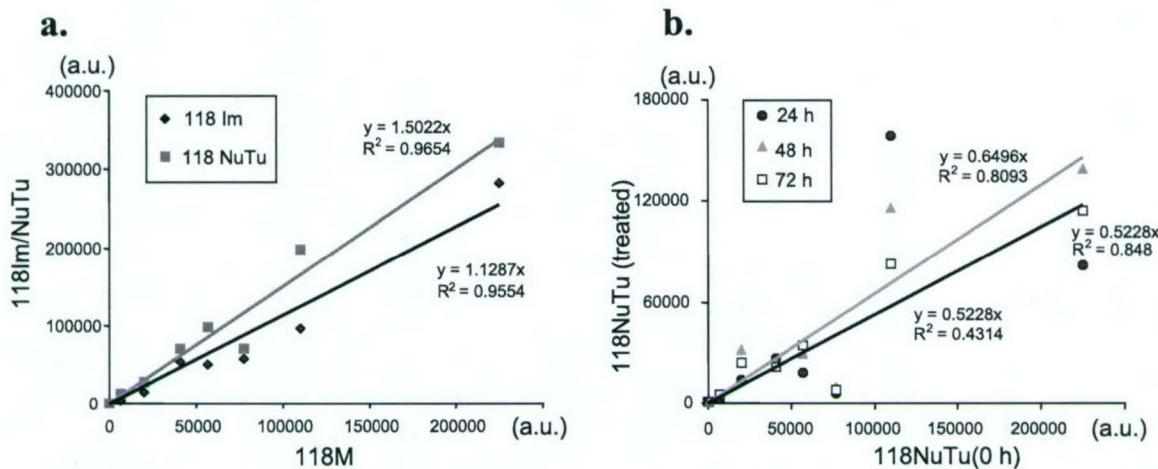
## RESULTS

### Housekeeping genes in HOSE cells

Figure 1(a) depicts the correlation plot of the 'designated' housekeeping genes in the first experiment with HOSE cells: 118M on the x-axis, and on the y-axis 118Im (black series) and 118NuTu (gray series). The expression of these genes is well correlated ( $R^2 = 0.96$ ), and, in this case, they can be used for normalization of the data. Figure 1(b) depicts the correlation plot of the expression of the same set of housekeeping genes in the 118NuTu, untreated (0 h, x-axis) and treated with 4-HPR for 24, 48 and 72 h (y-axis; black circles, gray triangles and shaded squares, respectively). In this case, the correlation between the expression of the 'designated' housekeeping genes is quite poor ( $R^2 = 0.43, 0.81$  and  $0.85$ , respectively). From these data, it is clear that the expression profiles of the 'designated' housekeeping genes are changed non-uniformly in the cells in response to the drug treatment.

### 'Noise' data

Figure 2(a) and (b) (left panels) depict the correlation between the data in the two pairs of simulated arrays in this dataset together with the linear trendline through the origin. Note that the regression coefficient in both cases is very close to the true value of the multiplication factor 1.2. The fit is slightly tighter



**Fig. 1.** Correlation plots of the intensities of the 'designated' housekeeping genes in two microarray experiments. (a) HOSE cell lines at different stages of malignancy, on the  $x$ -axis 118M, and on the  $y$ -axis, 118Im (black) and 118NuTu (gray). Regression lines are indicated in black and gray, respectively; (b) 118NuTu cell line following treatment with Fenretinide, on the  $x$ -axis at 0 h and on the  $y$ -axis after 24 (black circles), 48 (gray triangles) and 72 h (squares) of treatment. Regression lines are indicated in black solid, black dashed and gray, respectively (note that the black solid and black dashed regression lines are overlapping).

for the second dataset ( $R^2 = 0.986$  versus  $R^2 = 0.992$ ), which reflects the smaller contribution of the noise in the overall gene intensities. Figure 2(c) (left panel) depicts the correlation between two replicate array datasets obtained from 118M. The genes depicted by gray squares represent the 'designated' housekeeping genes. On the right panels in Figure 2 the correlation of the logarithmic transforms of the data from the left panels are presented (due to the restriction of the logarithmic function to only positive numbers, for this comparison, only genes that are expressed simultaneously in the two arrays are used). Comparison of the graphs of simulated [Fig. 2(a) and (b)] and real [Fig. 2(c)] noise indicates the similarity in the overall distributions, although the real data have a greater variance.

#### 'Signal' dataset SD1

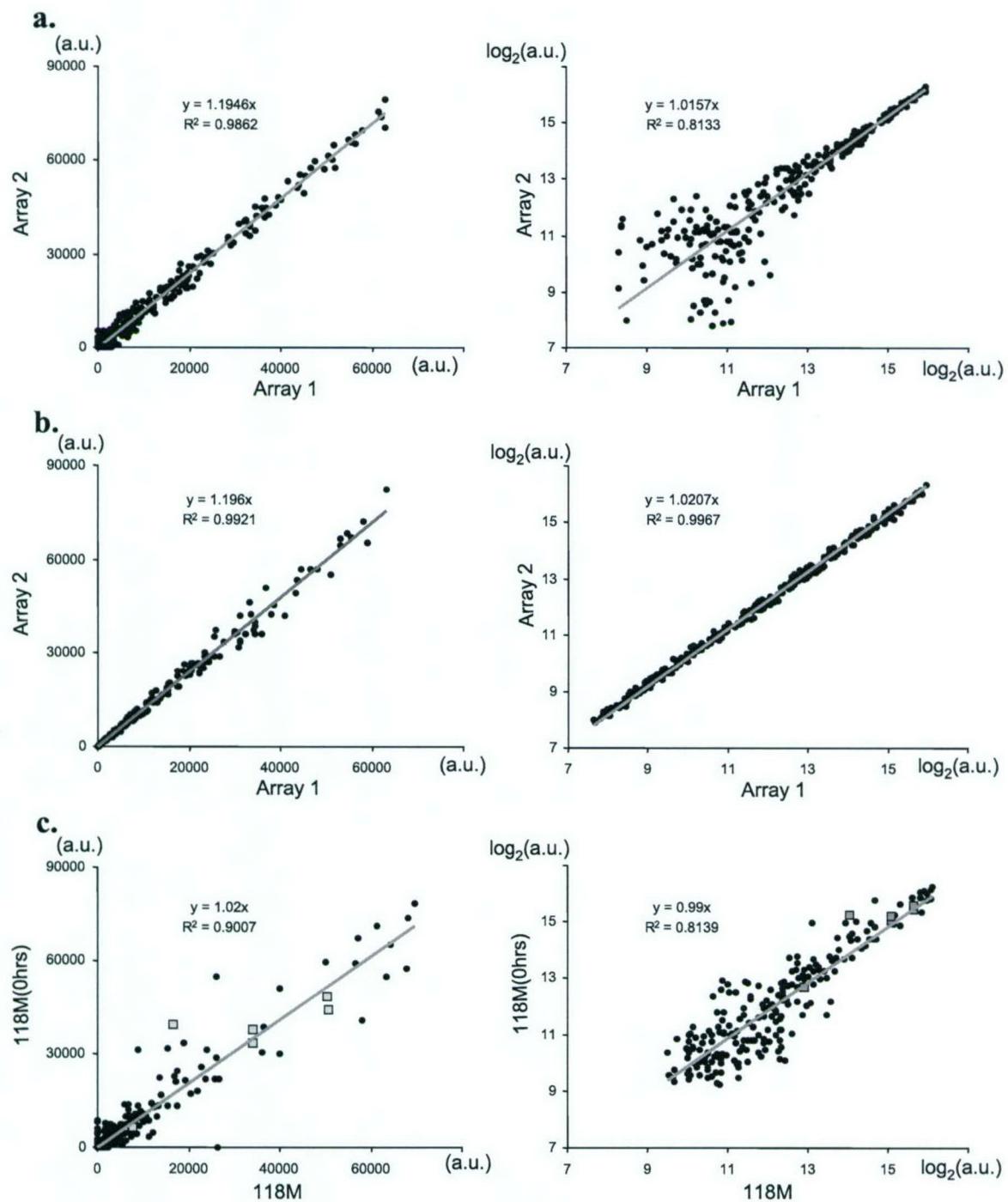
The graphs of the two pairs of arrays in this dataset, together with the regression line through the origin, are presented in Figure 3. The housekeeping genes are marked in green. In the case of the first pair [Fig. 3(a)], it is clear that the regression line is along the line of normalization and, therefore, all the above reference normalization methods will perform well. Obviously, this is not the case with the second dataset [Fig. 3(b)], and we applied the PCA (line) procedure for determining the subset of housekeeping genes.

After thresholding, 296 genes were found with non-zero intensities simultaneously in both arrays (132 up-regulated, 88 down-regulated and 76 housekeeping). PCA was applied to this set ( $\lambda_1 = 96\%$ ). The representation of the data along the first two PCs is shown in Figure 4(a) [note that the first

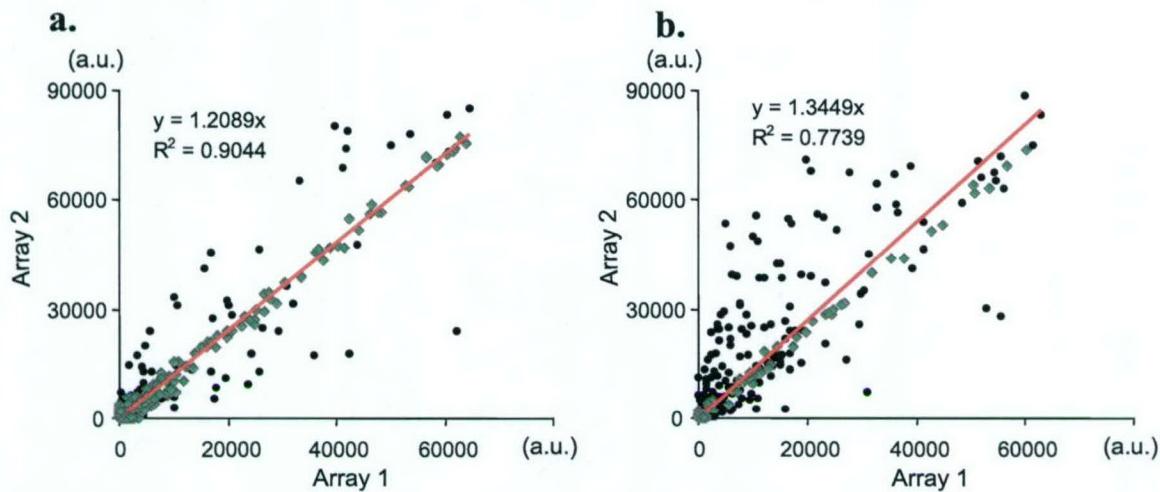
PC,  $\vec{P}_1$ , is along the regression line of this rotated version of Figure 3(b)]. The procedure for automatic detection of the housekeeping genes is schematically illustrated in Figure 4(b). The angle encompassing all data points (between 1.069 and 2.438 radians) was divided into 50 segments. The histogram of the angular densities  $\theta_k$  ( $k = 1, 2, \dots, 50$ ) is presented in Figure 4(c) [ $M(\theta_k) = 5.92$  and  $\sqrt{V(\theta_k)} = 5.18$ ]. For  $\mu = 1.96$ , three contiguous segments, starting at  $p = 22$ , contained points with a significantly higher density [Equation (2)]. A total of 63 points (subset S) from these segments were extracted. These genes (orange points), together with the original set of housekeeping genes (in green), are presented in Figure 4(d). The collinearity between the identified genes and the housekeeping genes is apparent. Thirty-two of the genes in S belong to the original set of 76 housekeeping genes in the analyzed data, indicating that the procedure recovered successfully a substantial fraction of them (32/76, or >40%). Moreover, the procedure detected an additional 31 genes whose expression changes in accordance with a housekeeping gene behavior. PCA was applied to the data in S ( $\lambda_1 = 99\%$ ), and the first PC loading factors were  $q_1 = 0.635$  and  $q_2 = 0.773$ , corresponding to a relative normalization factor of 1.217.

#### Simulated dataset SD2

PCA was applied to 205 genes with non-zero intensities in all eight arrays (88 up-regulated, 52 down-regulated and 64 housekeeping) ( $\lambda_1 = 96\%$ ). The points in the  $\vec{P}_1$  and  $\vec{P}_2$  plane were within 1.079 and 1.938 radians. As in the case of SD1, the densities of points in 50 segments were calculated ( $M(\theta_k) = 4.08$  and  $\sqrt{V(\theta_k)} = 5.21$ ). For  $\mu = 1.96$ , three



**Fig. 2.** Correlation plots of gene intensities in replicate arrays, displayed on untransformed (left panels) and logarithmic scales (right panels) with indicated LR line (gray): (a) simulated data, containing gene-independent noise; (b) simulated data, containing gene intensity-dependent noise; (c) two replicate arrays of 118M cell line. The genes shown in gray squares represent the designated housekeeping genes included in the arrays by the manufacturer.



**Fig. 3.** Correlation plots of gene intensities of two simulated array datasets (SD1) with indicated housekeeping genes (green squares) and indicated LR line (orange): (a) 'symmetric' case, where the majority of the genes are housekeeping and the number and magnitude of up- and down-regulated genes is similar; (b) the housekeeping genes are of a relatively smaller number, and the up-regulated genes dominate the distribution.

contiguous segments containing a total of 64 points (subset  $\mathbf{S}$ ) contained a significant number of points. The majority of the points in  $\mathbf{S}$  belonged to the original set of housekeeping genes analyzed (44, or 69%), and the remaining 20 were split between the 12 up-regulated and eight down-regulated genes. PCA was applied to the data in  $\mathbf{S}$  ( $\lambda_1 = 99\%$ ), and the normalization coefficients  $q_j$  ( $j = 1, \dots, 8$ ) were calculated as the loadings of the first PC.

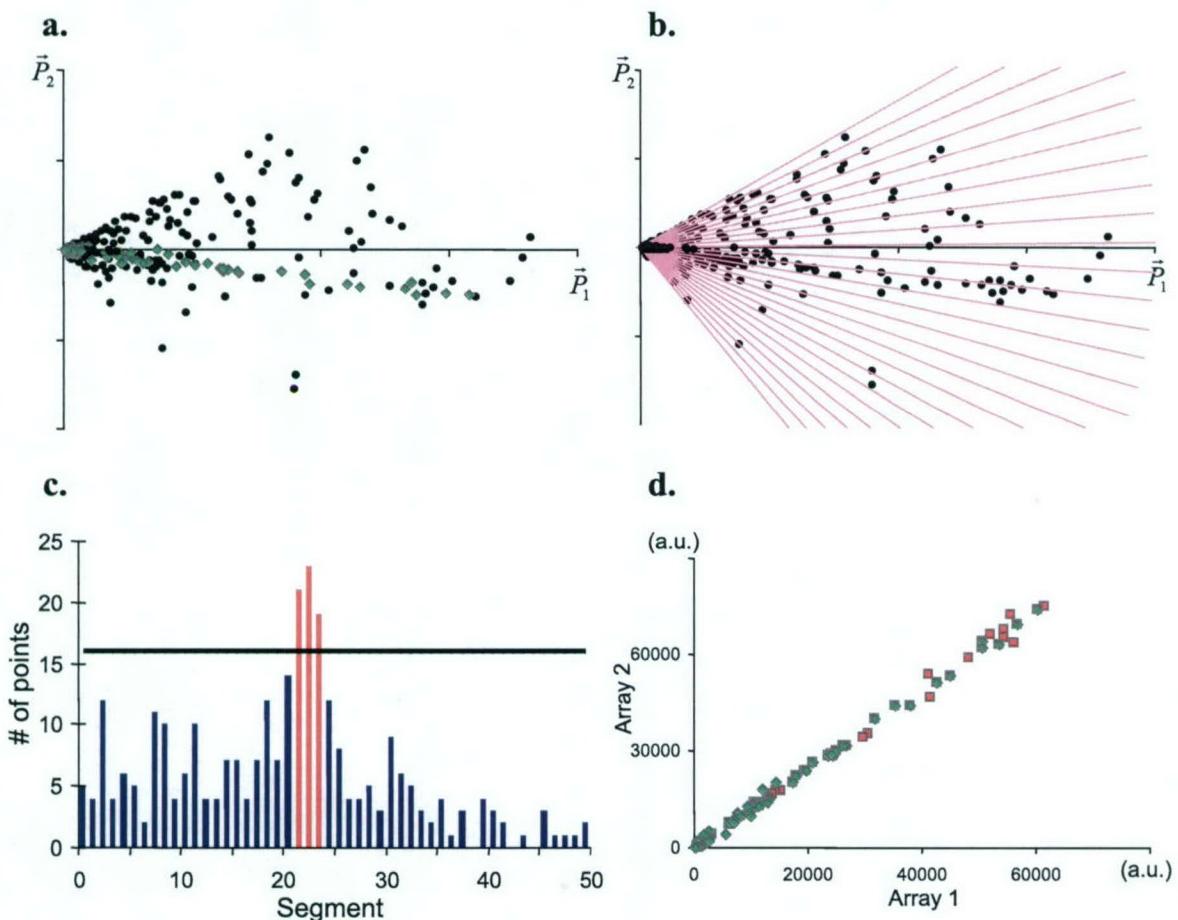
We compared the accuracy of the PCA(line)-estimated normalization factors with the ones estimated by LR and mean (MEAN). We scaled all normalization factors so that their sum was equal to 1, and the correlation between the true values ( $x$ -axis) and the estimated values ( $y$ -axis) are presented in Figure 5(a). Although the overall correlation between the true and estimated normalization factors is quite good [ $R^2 = 0.9964$ , 0.9862 and 0.9726 for PCA(line), LR and MEAN estimates, respectively], it is clear that PCA(line) provides the best estimates. We also calculated the error for each individual array, defined as the percentage difference of the estimated from the true normalization factor, and the minimum, maximum and average error values are presented in Figure 5(b). This analysis indicated that the error of the PCA(line)-derived estimates is on average lower by a factor of 2 and 3 as compared with the ones derived by LR and MEAN, respectively.

We further investigated the effect of data thresholding on the PCA(line) procedure. We re-analyzed SD2 by applying PCA to all 500 genes in the dataset. Since some of the scores along  $\tilde{P}_2$  were negative, the data points spanned the entire plane (between 0.03 and 6.27 radians). In this case, we set  $p = 200$  and  $\mu = 4$ . Two consecutive segments [Fig. 5(c)], containing

a total of 77 genes, were determined to have significant angular densities. The overwhelming majority of genes (55) in this set belonged to the original set of housekeeping genes. The housekeeping gene sets derived by PCA (line) on thresholded and unfiltered data were strongly overlapping—all but four were identical to the 64 housekeeping genes determined with the thresholded data. Finally, the PCA-determined normalization factors in this case were virtually identical to the ones determined with the thresholded data.

#### Lymphoma Data

PCA was applied to all 7129 genes in the dataset ( $\lambda_1 = 88.31\%$ ). All loadings of  $\tilde{P}_1$  were scaled by the first one, resulting in a normalization factor of 1 for the first array. Figure 6(a) depicts the comparison between LR- and PCA-derived (yellow circles) values. The high correlation ( $R^2 = 0.99$ ) between the two series is apparent. Further, we applied the PCA(line) procedure. Three contiguous segments (from a total of 200), containing 1095 genes, were above the threshold [ $M(\theta_k) = 35.64$ ,  $\sqrt{V(\theta_k)} = 72.21$ ,  $\mu = 4$ ]. PCA was applied to the intensities of the genes in  $\mathbf{S}$  ( $\lambda_1 = 93.85\%$ ) and the loadings of  $\tilde{P}_1$  rescaled appropriately and compared with the LR results [Fig. 6(a), black circles]. While showing an overall good agreement with the LR-derived results ( $R^2 = 0.92$ ), they also indicate, in some individual cases, substantial differences with the PCA(line)-estimated values. The average absolute value of the relative difference between LR- and PCA-derived factors was 7.52%, with a range of 0.07–30.84% in the case of array #65 [Fig. 6(a), marked with an arrow]. We then examined the correlation of the intensities of the genes marked with 'P' (those of satisfactory quality) in arrays # 1



**Fig. 4.** (a) The data from Figure 3b, presented in the PC-plane; (b) schematic illustration of segmentation of the part of the PC-plane containing the data; (c) histogram of the angular densities of the segments; (d) ‘true’ (green) and PCA(line)-detected housekeeping genes (orange).

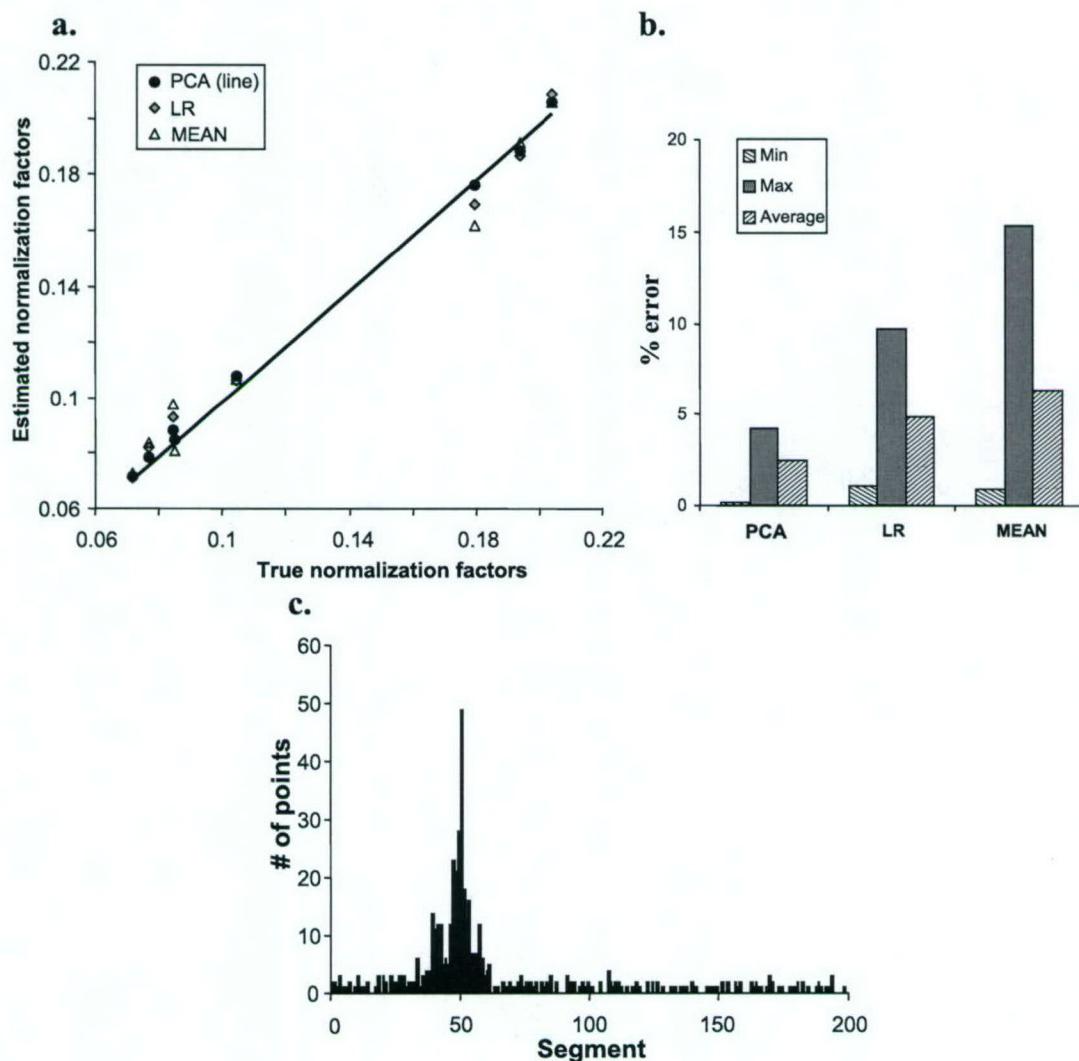
and # 65 [Fig. 6(b)]. The normalization lines [represented in orange and blue, respectively, for LR and PCA(line)] indicate that in the case of LR, a handful of strongly expressed genes are driving the normalization. A similar graph was obtained with arrays #1 and #58, which also showed a large difference between the two normalization procedures.

To determine how the number of segments in the plane impacts the estimated normalization coefficients, we ran the procedure with  $p = 100, 300, 400$  and  $500$ . In all cases, the procedure extracted essentially the same subset of normalizing housekeeping genes. The number of genes for each  $p$  was 1410, 1192, 1092 and 1162, respectively. We estimated a  $(5 \times 5)$  correlation matrix of the derived normalization factors for each value of  $p$ . All coefficients in the correlation matrix were greater than 0.994, indicating the high degree of reproducibility between the derived normalization factors for different numbers of segments ( $p$ ). We also estimated

the coefficient of variation (COV) between the five series of estimates. The average COV for the 72 normalization factors was 1.71%.

## DISCUSSION

Normalization of gene intensities in multi-array experiments is crucial for the ultimate biological interpretation to be meaningful (Hoffmann *et al.*, 2002). Only after proper normalization can changes in expression of a given gene amongst the studied samples in the experiment be characterized quantitatively. Conversely, erroneous (or no) normalization may lead to inaccurate estimation of the changes in gene expression including wrong conclusions with regard to their up- or down-regulation. While optimal normalization is still a subject of discussion, individual investigators are faced daily with many questions about the analysis of these complex



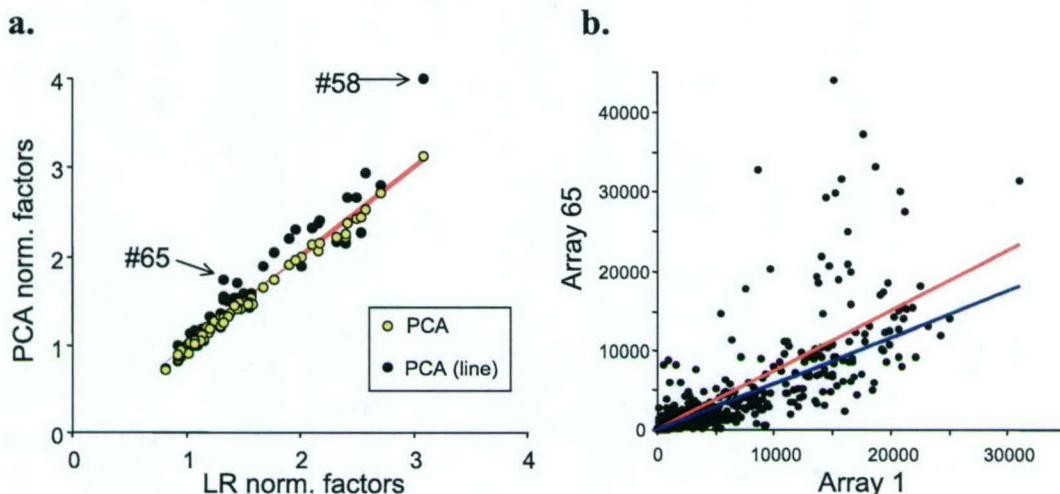
**Fig. 5.** (a) Relation of 'true' normalization factors and factors estimated via PCA(line), LR and MEAN in a simulated dataset containing eight arrays. The black line indicates the line of identity; (b) ranges (minimum and maximum) and average of the absolute values of relative errors of estimation of the normalization factors in the three estimates; (c) histogram of the angular densities of the segments in the PCA(line) for unfiltered data.

data. For example, should the array data be logarithmically transformed prior to normalization; should low intensity spots be discarded, and, if so, what is the right cut-off limit for this operation; should the mean or median intensity of the arrays be used for normalization; or alternatively, do 'designated' housekeeping genes play reliably their assigned role?

In this report, we address all these questions and present a simple procedure for normalization of datasets generated with single-channel arrays based on PCA. The procedure makes

minimal assumptions about the data and does not require any pre-processing, pre-screening or filtering of the data.

The need for alternative normalization techniques arose with the realization that genes assumed as housekeeping and 'designated' by the manufacturers as such on arrays are not reliable for accurate data normalization. In the first experiment with HOSE cells, investigating a set of three cell lines with close genetic origin, the 'designated' housekeeping genes change in a coordinated fashion, and it is likely that they fulfill their role as normalizing genes. This result is anticipated



**Fig. 6.** (a) Correlation between LR-estimated (*x*-axis) and PCA- or PCA(line)-estimated (yellow series and black series, respectively) normalization factors for the LD. The orange line indicates the identity line. The arrows point at arrays with a large relative difference; (b) correlation plots of intensities of genes marked with 'P' in arrays #1 and #65. The normalization lines derived by the LR and PCA(line) estimates are indicated in orange and blue, respectively.

since the three cell lines were cultured under standard growth conditions and the observed differences in the global gene expression profiles are related to only a small subset of genes associated with the sequential transition of the cells through the process of malignant transformation. Conversely, in the second experiment, the 'designated' housekeeping genes appear to change differentially in response to treatment with Fenretinide. This is consistent with the dramatic biochemical changes associated with the process of cells undergoing programmed cell death (Querci, T.D. *et al.*, manuscript in preparation). The major alterations in the global gene expression profile that precedes and leads to the triggering of apoptosis affect the expression states of most housekeeping genes.

Pre-processing of the data prior to normalization is an important issue. Typical steps include background correction, logarithmic transformation and/or thresholding. We believe that the background should be removed prior to normalization, so that the normalization line goes through the origin. Although we simulated gene intensities, as described in the Materials and methods section, there is no theoretical basis to assume that real data comply with this distribution. Log-transformation has the advantage of transforming the noise distributions approximately to Gaussian. This property can be used for estimating the probabilities of differentially expressed genes (Kerr *et al.*, 2000). The PCA-based normalization procedure, however, is based on identifying the genes along the normalization line in the dataset and is invariant to prior transformation. Moreover, based on 'noise'-simulated data, as well as from the HOSE cell replicates, it is apparent that log-transformation may be detrimental to the analysis as

it increases the relative contribution of the gene-independent noise in genes expressed at low levels. Because of these adverse effects, and the fact that by estimating the numbers of genes in the segmented plane the PCA(line) procedure allows low-expressed genes to be taken into consideration, we chose to implement our normalization procedure on raw (untransformed) data.

The described procedure is also insensitive with respect to prefiltering (thresholding) of the data, given that the parameter  $\mu$  [Equation (2)] is adjusted appropriately. In the case of 'thresholded' data,  $\mu = 1.96$  will be sufficient to discriminate between the sought housekeeping genes and the rest [Fig. 4(c)]. This  $\mu$ -value will merely distinguish the 'noise' genes from the signal ones in non-prefiltered data. Thus, a larger  $\mu$  [as in the case shown in Fig. 5(c)] is required to detect the normalizing genes sought. We therefore strongly recommend exploring the characteristics of the angular histogram of the data before setting the appropriate  $\mu$ -value.

The only assumption made about the distribution of the intensities of the housekeeping genes for PCA(line) is that they are distributed along a straight line. This assumption is very sensible for single-channel arrays, unlike the case of the double-channel arrays, where it is known that a non-linear dependence exists between the gene expression levels among the two channels (Yang *et al.*, 2002). Furthermore, it has been shown recently that even for these arrays the linear and non-linear normalization methods perform similarly (Park *et al.*, 2003). In our experience, most of the non-linear effects are due to improper scanning settings, which, besides the unwanted variations, produce saturated spots also.

We consider the identification of the housekeeping genes with intensities within the linear range, as proposed by the PCA(line) routine, to be a reliable and robust source for normalization.

The linearity is the basis of the stability of the approach with respect to the parameter  $p$ —it is sufficient to detect a small subset of  $S$  to identify uniquely the normalization line. Conversely, a larger set of genes along this line will not impede the calculation of the normalization parameters. Still, in order to obtain meaningful histograms of the number of genes in each segment, we recommend that  $p$  initially be selected to contain on average at least 10 genes per segment. The condition for linearity naturally excludes genes with saturated expression levels and it thus contributes significantly to reducing the interference of these typically large signals in the normalization process.

Conditions (1) and (2) (see Introduction) are instrumental for the successful performance of the referenced normalization procedures. However, in single-channel arrays, such as the Affymetrix platform and radiolabeled filter arrays, it is a common phenomenon that the detected number of up-regulated genes is larger than the number of the down-regulated ones. This is due to the fact that the signals of genes expressed at low levels and undergoing down-regulation are close to or below the background level, and, therefore, their change is either undetected or deemed statistically insignificant. When these conditions hold, as in the case of the simulated data in Figure 3(a), PCA will be successful in determining the normalization factors with the following advantages, as compared with the other referenced techniques:

- It provides an objective measure through the magnitude of the first eigenvalue of how ‘tightly’ the data are distributed along the first PC.
- It simultaneously determines normalizing coefficients for the entire dataset. A common approach for normalization of multiple experiments is to choose one array as the baseline and to apply normalization (Golub *et al.*, 1999). In order to avoid the lack of symmetry of this procedure, the baseline is computed frequently as the average gene expression profile (Tusher *et al.*, 2001). This is achieved naturally with PCA as the first PC is an approximation of the ‘average’ array in the dataset.
- Viewing the entire set of multiple array data simultaneously allows proper down-weighting of the ‘noise’ genes, which, during individual comparisons, may affect strongly the calculation of the normalization coefficients.

The advantages of PCA are underscored in the LD example, where a single PCA step applied to the entire dataset estimates normalization coefficients that are almost identical to the ones determined by the pair-wise LR procedures, using only well measured genes in each pair [Fig. 6(a)].

The PCA(line) procedure, besides having the above listed general advantages of PCA, can also deal successfully with situations where conditions (1) and (2) do not apply. In the simulated datasets, the PCA(line) results are closest to the true values as judged by the relative mean-square errors from the three procedures tried. Visual inspection of the LR and PCA(line) normalization lines in the graph shown in Figure 6(b) suggests that this is also true for the Affymetrix data. In addition, it eliminates the need for using a baseline array, which, as shown by Bolstad *et al.* (2003), has a clear disadvantage relative to the complete data methods for normalization such as the one proposed here.

In conclusion, the proposed normalization procedure improves significantly the accuracy and precision of the measured gene expression levels. Such procedures will become even more relevant with further refinement and standardization of the microarray technology.

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## APPENDIX 1: ALGORITHM DESCRIPTION

(1) Construct the data matrix  $\mathbf{D}(i, j)$ , where

$i = 1, \dots, n$  ( $n$ —total number of genes on each array),  
 $j = 1, \dots, m$  ( $m$ —total number of arrays in the dataset).

(2) (Optional) thresholding of the data:

- (2.1) Set the values in  $\mathbf{D}$  smaller than a given value (e.g. 200 a.u. for the Clontech data) to 0.
- (2.2) Remove from  $\mathbf{D}$  genes with 0 intensities in at least one array, resulting in a new data matrix  $\mathbf{D}'(n' \times m)$ , where  $n' \leq n$ .

(3) PCA of  $\mathbf{D}$  (here and in the rest of the text  $\mathbf{D}$  should be substituted by  $\mathbf{D}'$  in the case of thresholding, as well as  $n$  by  $n'$ ).

(3.1) Calculate  $\mathbf{C}$ —the covariance matrix of  $\mathbf{D}$ :

$$\mathbf{C} = \frac{1}{n-1} \mathbf{D}^T \mathbf{D},$$

where  $\mathbf{D}^T$  denotes the transpose matrix of  $\mathbf{D}$ .

(3.2) Calculate eigenvectors  $\mathbf{Q}$  and eigenvalues  $\Lambda$  of the covariance matrix  $\mathbf{C}$ , i.e.:

$$\mathbf{C}\mathbf{Q} = \mathbf{Q}\Lambda$$

The rows in  $\mathbf{Q}$  are the PCs  $\vec{P}_1, \vec{P}_2, \dots, \vec{P}_m$ .

(3.3) Calculate the scores  $R = \mathbf{D}\mathbf{P}^T$ .

- (4) Let  $R_1^i$  and  $R_2^i$  be the scores of the  $i$ -th gene along  $\vec{P}_1$  and  $\vec{P}_2$ .

(4.1) Disregard genes for which  $R_2^i = 0$ .

- (4.2) Calculate the angle  $\varphi_i, i = 1, \dots, n$  (in radians), between  $\vec{P}_2$  and the vector with coordinates  $(R_1^i, R_2^i)$ , as follows:

$$\varphi_i = \begin{cases} 2\pi + \arctan(R_1^i/R_2^i), & \text{if } R_1^i \leq 0 \text{ and } R_2^i > 0, \\ \arctan(R_1^i/R_2^i) & \text{if } R_1^i > 0 \text{ and } R_2^i > 0, \\ \pi + \arctan(R_1^i/R_2^i) & \text{if } R_1^i > 0 \text{ and } R_2^i < 0, \end{cases} \quad i = 1, \dots, n.$$

- (5) Segment the part of the plane defined by the first 2 PCs in  $p$  partitions.

(5.1) Determine the segment  $\theta = \max(\varphi_i) - \min(\varphi_i)$

(5.2) Determine a step  $\delta = \theta/p$

- (5.3) Define the subset of genes  $s_k$  in each of the  $p$  segments, defined as

$$s_k \in [(k-1)\delta \min(\varphi_i), k\delta \min(\varphi_i)],$$

$$k = 1, \dots, p.$$

- (6) Determine the subset of housekeeping genes  $S$ .

(6.1) Determine the number of genes  $\theta_k$  in each subset  $s_k$ .

(6.2) Estimate the mean  $M(\theta_k)$ , and variance,  $V(\theta_k)$ , of the distribution of  $\theta_k$ .

(6.3) Evaluate if

$$\theta_k > M(\theta_k) + \mu \sqrt{V(\theta_k)}$$

holds for any  $k$ .  $\mu$  is a cut-off parameter, which can be set to 1.96 if a normal distribution of  $\theta_k$  is assumed [see body of the paper, Equation (2)].

If none of the segments satisfies the condition it means that either none of the genes can serve as a housekeeping gene ( $S \equiv \emptyset$ ) or all genes in the dataset can be assumed to be housekeeping genes ( $S \equiv D$ ). Then the loadings of  $\vec{P}_1$  (3.2) may be used as normalizing factors.

- (6.4) The expression levels of the genes in each array should be divided by these loadings.

**End of the Procedure**

- (6.5) Let  $Z$  denote the set of these segments that satisfy the condition in 6.3. If for a certain  $q$ ,  $\zeta_q \in Z$ , then

(6.5.1) If  $\zeta_{q+1} \notin Z$ , then

- (6.5.1.1) If there are no other  $qs$ , for which  $\zeta_q \in Z$ , then proceed as in 6.4.

(6.5.1.2) Conversely, proceed as in 6.5.

- (6.5.2) If  $\zeta_{q+1} \in Z$ , then the genes in these two segments are assumed to be housekeeping genes;  $S \equiv s_q \cup s_{q+1}$ . Add to  $S$  the genes of any consecutive segments that belong to  $Z$ .

(6.5.2.1) Apply PCA (3.2) to the gene expression levels in  $S$ . The loadings of  $\vec{P}_1$  can be used as normalizing factors. The expression levels of the genes in each array should be divided by these loadings.

**End of the Procedure**

## APPENDIX 2: SIMULATED DATASET

Let  $g_{i1}$  be the gene intensity of the  $i$ -th gene in the first array ( $i = 1, 2, \dots, 500$ ). The corresponding intensities in the second array in SD1 were generated as follows.

$$\left| \begin{array}{ll} g_{i2} = q_{12} * \min[\alpha_{\text{up}} g_{i1}, \beta_{\text{up}}] & i = 1, \dots, 200, \\ g_{i2} = q_{12} * \max[\alpha_{\text{down}} g_{i1}, \beta_{\text{down}}] & i = 201, \dots, 350, \\ g_{i2} = q_{12} * g_{i1} & i = 351, \dots, 500, \end{array} \right. \quad (\text{A.1})$$

where  $q_{12} = 1.2$ , and the  $\alpha$ s and  $\beta$ s are random numbers within the following intervals:

$$\alpha_{\text{up}} = (1, 10],$$

$$\beta_{\text{up}} = (g_{i2}, g_{\text{max}}], \quad \text{where } g_{\text{max}} = 80\,000,$$

$$\alpha_{\text{down}} = (0, 1/10],$$

$$\beta_{\text{down}} = (g_{\text{min}}, g_{i2}], \quad \text{where } g_{\text{min}} = 0.$$

## APPENDIX 3: SIMULATED DATASET

Let  $g_{ij}$  be the gene intensity of the  $i$ -th gene in the  $j$ -th array ( $i = 1, 2, \dots, 500; j = 1, 2, \dots, 7$ ). Equation (A.1) describes the generation of the data in SD2 ( $q_{1j}$  substituted correspondingly with  $q_{1j}$ , randomly generated scaling parameters between 0.3 and 3), derived from the intensities of the genes in the first array, where  $\alpha_{\text{up}}^j$  and  $\alpha_{\text{down}}^j$  are consistent with a simulated gradual increase in fold of changes between 1.5 and 4.5 with an increment of 0.5, both for up- and down-regulated genes. Formally,

$$\left| \begin{array}{ll} \alpha_{\text{up}}^j = (1, 1 + j * \text{step}], & j = 1, \dots, 7 \\ \alpha_{\text{down}}^j = (0, 1/(1 + j * \text{step}]), & \end{array} \right.$$

where  $\text{step} = 0.5$ .

# Characterization of a Carcinogenesis Rat Model of Ovarian Preneoplasia and Neoplasia

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## ABSTRACT

Animal models of ovarian cancer are crucial for understanding the pathogenesis of the disease and for testing new treatment strategies. A model of ovarian carcinogenesis in the rat was modified and improved to yield ovarian preneoplastic and neoplastic lesions that pathogenetically resemble human ovarian cancer. A significantly lower dose (2 to 5 µg per ovary) of 7,12-dimethylbenz(a)anthracene (DMBA) was applied to the one ovary to maximally preserve its structural integrity. DMBA-induced mutagenesis was additionally combined with repetitive gonadotropin hormone stimulation to induce multiple cycles of active proliferation of the ovarian surface epithelium. Animals were treated in three arms of different doses of DMBA alone or followed by hormone administration. Comparison of the DMBA-treated ovaries with the contralateral control organs revealed the presence of epithelial cell origin lesions at morphologically distinct stages of preneoplasia and neoplasia. Their histopathology and path of dissemination to other organs are very similar to human ovarian cancer. Hormone cotreatment led to an increased lesion severity, indicating that gonadotropins may promote ovarian cancer progression. Point mutations in the *Tp53* and *Ki-Ras* genes were detected that are also characteristic of human ovarian carcinomas. Additionally, an overexpression of estrogen and progesterone receptors was observed in preneoplastic and early neoplastic lesions, suggesting a role of these receptors in ovarian cancer development. These data indicate that this DMBA animal model gives rise to ovarian lesions that closely resemble human ovarian cancer and it is adequate for additional studies on the mechanisms of the disease and its clinical management.

## INTRODUCTION

Ovarian cancer is one of the leading causes of cancer-related deaths among women (1, 2). The understanding of the molecular pathogenesis of ovarian cancer has been hindered by the lack of sufficient numbers of specimens at early-stage disease because of its frequent diagnosis at advanced stages (3, 4). Consequently, the existence of identifiable precursor lesions that ultimately develop into ovarian cancer is still debatable (5, 6).

More than 80% of ovarian cancers originate in the ovarian surface epithelium (7–12). Incessant ovulation, postmenopausal increase of gonadotropin hormone levels, chronic inflammation, and environmental carcinogens are assumed to play key roles in ovarian oncogenesis (13–16).

Animal models that closely recapitulate human ovarian cancer are

crucial for understanding its pathogenesis and for testing new treatment strategies. A number of models have been developed to date on the basis of carcinogen treatment, gonadotropin/steroid hormone stimulation, and genetic modeling (for review, see refs. 17, 18). The latter is based on the introduction of genetic alterations through the germ line or conditional inactivation of certain tumor suppressor genes, such as *Tp53* and *pRb* (19), or the ectopic expression of certain oncogenes, or a combination of both (20). Transgenic models, however, depend strongly on the specificity and timing of expression of the used promoter in the ovary and, more specifically, in the ovarian surface epithelium, which until recently was unavailable. Furthermore, most incorporated gene changes thus far are associated with advanced human ovarian cancer, and their role in early-stage disease is unknown. Recently, the MISRII promoter, which exhibits a relatively restricted pattern of expression, was used to drive the expression of the SV40 large T-antigen in the ovarian surface epithelium (21). Approximately 50% of the female mice bearing the MISRII-T-antigen transgene developed bilateral, poorly differentiated ovarian tumors by 6 to 13 weeks of age. Similarly, most genetic models developed to date are unable to reproduce the histopathological diversity of human ovarian cancer and give rise to rapidly developing, advanced-stage disease at very young age. Hence, although very important for understanding the role of discrete genes in ovarian cancer, these models are inadequate for studying the preneoplastic and early neoplastic stages of the disease or for prevention studies. In contrast, the ovarian lesions induced by carcinogens and hormones in general display all three stages of cancer development (initiation, promotion, and progression). The direct implantation of chemical carcinogens, such as 7,12-dimethylbenz(a)anthracene (DMBA) in the rat ovary (22–24), leads to the induction of ovarian tumors at an incidence of ~37%. These include adenocarcinomas, as well as stroma and mesothelial tumors (22, 23, 25). There is, however, lack of information regarding the nature and sequence of events elicited by DMBA and leading to ovarian cancer development.

To improve its usage and physiologic relevance to the human disease, the DMBA model of ovarian cancer was modified (*a*) by significantly decreasing the DMBA dose, thereby preserving maximally the integrity of the organ and (*b*) by incorporating multiple gonadotropin hormone treatments, thus introducing an additional risk factor associated with human ovarian cancer, known also to induce hyperovulation and enhanced mitogenesis of the ovarian surface epithelium (26). Characterization of this modified animal model revealed the appearance of early and advanced lesions with a progressive nature that range from nonneoplastic to preneoplastic to malignant. Their histopathology and path of dissemination strongly resemble human ovarian cancer.

## MATERIALS AND METHODS

### Animals and *In vivo* Treatments

Six-week-old virgin Sprague Dawley rats (Taconic Farms, Germantown, NY) were used following NIH and Fox Chase Cancer Center animal care guidelines. DMBA mixed with beeswax was directly applied to the right ovary

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of 120 animals. The left ovaries were treated with beeswax only. Animals were treated in three study arms (Supplemental Table 1): 60 animals (arm 1) with 2.5 µg of DMBA and 60 animals (arms 2 and 3) with 5 µg of DMBA. The latter was subdivided in 2 × 30 and subjected to six cycles of treatment with pregnant mare's serum gonadotropin (Sigma, St. Louis, MO) and human chorionic gonadotropin (Ferring Pharmaceuticals, Los Angeles, CA), once every 2 weeks, starting at 2 months after DMBA application (arm 3) or with corresponding vehicle at the same regimen (arm 2). Pregnant mare's serum gonadotropin (in sterile saline: 0.9% NaCl; Abbott Laboratories, Chicago, IL) and human chorionic gonadotropin (in bacteriostatic water) were administered i.p. and i.m., respectively, each at a dose of 40 IU per animal.

#### DMBA Suture Preparation

Three or 1.0 g of beeswax (Sigma) was melted in a sterile Petri dish on a sandbath at 135°C in a chemical fume hood under amber light. One gram of DMBA (Sigma) was added to the melted beeswax and mixed until melted. Uncoated silk sutures (7-0 USP; United States Surgical, North Haven, CT) were dipped into the melted mixture for 2 to 3 minutes. Sutures were air-dried and wrapped in a sterilized aluminum sheet. Beeswax-control sutures were prepared similarly. Sutures were stored at 4°C for up to 7 days before surgery. The average DMBA weight per cm suture was ~8 or ~15 µg for a 1:3 or 1:1 mixture of DMBA:beeswax, respectively, corresponding to a dose of ~2.5 and ~5 µg, respectively, for ~3-mm implanted suture.

#### DMBA Application to the Ovary

Six-week-old virgin rats were anesthetized by inhalation of halothane, followed by i.p. injection of 1 mL/Kg body weight xylazine (20 mg/mL), Acepromazine maleate (10 mg/mL) and Ketamine-HCl (100 mg/mL) mixed in a ratio of 1:2:3, respectively. The rat flanks were shaved and washed with iodine solution and 70% etomidate. Sterile conditions were used throughout the surgical procedure. A transverse, ~1.5-cm mid-lumbar incision was made in the right flank of the animal, ~5 mm ventral to the lumbar muscles. The fat pad with the attached ovary was gently pulled out of the cavity with blunt-end forceps, held by the fallopian tube, and, under amber light, a DMBA/beeswax-suture was applied across the ovary, contralaterally to the fallopian tube/fibria. The suture ends were cut flush with the surface of the bursa. The organ was placed back into the cavity and the muscle wall was sutured with sterile absorbable sutures (4-0 USP; Fisher Scientific, Pittsburgh, PA). The skin was closed with wound clips. Similarly, a beeswax-impregnated suture was implanted into the left ovary. The animals were observed until awoken and daily for the next 10 to 14 days. The wound clips were removed 7 to 10 days after surgery.

#### Tissue Preparation and Immunohistochemistry

Upon animal sacrifice, the ovaries and other organs (fallopian tubes, uterus, and mammary glands) were harvested, formalin fixed (18 hours), and paraffin embedded. Five-micron serial sections from different areas of each organ were stained with H&E and subjected to histopathological examination. Adjacent, unstained 5-µm sections were subjected to immunohistochemistry analysis for the expression of several protein markers (Supplemental Table 3) with reagents provided with corresponding antibody kits and following standard procedures (27).

#### Mutation Analysis

**Extraction of Genomic DNA from Ovarian Lesions.** Six-micron sections obtained from formalin-fixed, paraffin-embedded tissue blocks and containing corresponding ovarian lesions were microdissected (PixCell II LCM system, Arcturus Engineering, Inc., Mountain View, CA; 3-ms pulse, 75-mW power, and 15- to 30-µm laser-spot size) to select ~2 to 3 × 10<sup>4</sup> cells. Genomic DNA was extracted with the PicoPure DNA extraction kit (Arcturus Engineering, Inc.). Cells were suspended in 50 µL proteinase K buffer [100 mmol/L Tris-HCl (pH 7.6), 0.5% SDS, 1 mmol/L CaCl<sub>2</sub>, and 100 µg/mL oyster glycogen] and digested for 7 days at 55°C with daily addition of 50 µg of proteinase K. Ten microliters of 25% Tris-buffered Chelex solution were added and heated at 95°C for 10 minutes. Cell lysates were extracted twice with phenol:chloroform:isoamyl alcohol (25:24:1) with the addition of NH<sub>4</sub>C<sub>3</sub>H<sub>2</sub>O<sub>2</sub> and once with chloroform. DNA was precipitated with 2 volumes of 100% ice-cold etomidate, 1 µL of glycogen (20 µg/µL) and 2 µL of 4 N NaCl at -20°C overnight. Pellets were collected by centrifugation at 13,000 × g for 15 minutes, washed with 70% etomidate, re-centrifuged, dried, and resuspended in 25 µL of 10 mmol/L Tris-HCl (pH 8.0). DNA concentration was determined spectrophotometrically (ND-1000; NanoDrop Technologies, Inc., Wilmington, DE).

**PCR Amplification, Restriction Digest, and Direct Sequencing.** Individual gene exons were subjected to PCR amplification with corresponding specific oligonucleotide primers (Supplemental Table 2), followed by diagnostic restriction digest and for *Ki-Ras* and *Tp53* also by direct sequencing at the Fox Chase Cancer Center sequencing facility. Digested and undigested PCR products were resolved in a 4% Tris-acetate agarose gel containing ethidium bromide (5 µg/mL; Sigma) for UV-light detection. In cases where more than one band was visible, the band with the corresponding expected size was purified from the gel with Gel DNA extraction kit (Qiagen, Valencia, CA). Genomic DNA obtained from the ovary of an untreated female rat was used as control. Sequence analysis was carried out with Accelrys SeqWeb V.2 for the Wisconsin GCG sequence analysis package V.10.

#### Histopathology and Statistical Analysis

Three 5-µm H&E-stained tissue sections obtained from different areas of each ovary (one section each at 100 µm from the two ends and one from the middle of the organ) were subjected to histopathology evaluation. Calls were made for presence or absence of significant lesions. The latter were subdivided into three groups: nonneoplastic, putative preneoplastic, and tumor (Table 1).

Generalized estimating equations in the context of logistic regression were used to model the probability of developing a lesion of a specific severity as a function of treatment and time on study. The outcome measure is a binary indicator of whether a significant lesion was observed in a given ovary at time of sacrifice. The correlation structure was modeled by assuming that two data points were independent if and only if they were obtained from different animals (*i.e.*, the left and right ovary assessments are correlated if they came from the same animal and are independent otherwise). All significance tests were based on two-sided type 3 score statistics. The left and right ovaries of each animal were assigned an ordinal score representing the maximum severity of any lesion observed at time of sacrifice. The lesion score range was as follows: 1 (no significant lesion), 2 (nonneoplastic), 3 (preneoplastic), and 4 (tumor).

Table 1 Incidence and severity of DMBA-induced ovarian lesions

Severity of lesions	Arm 1	Arm 2	Arm 3	Control ovaries			Total ovaries
	DMBA (2.5 µg)	DMBA (5.0 µg)	DMBA (5.0 µg)+hormone	Arm 1	Arm 2	Arm 3	
No lesions cnt. (%)	35 (59.32)	12 (40.00)	14 (48.28)	52 (88.13)	23 (76.67)	21 (72.41)	157 (66.52)
Nonneoplastic lesions cnt. (%) *	11 (18.64)	5 (16.66)	1 (3.45)	5 (8.47)	4 (13.33)	2 (6.89)	28 (11.86)
Putative preneoplastic lesions cnt. (%) †	12 (20.34)	13 (43.33)	11 (37.93)	2 (3.38)	2 (6.67)	6 (20.69)	46 (19.49)
Neoplastic lesions cnt. (%)	1 (1.69)	0 (0.00)	3 (10.34)	0	1 (3.33)	0	5 (2.12)
Total animals/Total ovaries cnt. (%)	59 (25.00)	30 (12.71)	29 (12.29)	59 (25.00)	30 (12.71)	29 (12.29)	236 (100)

\* Chronic inflammation; foreign body granuloma; prominent corpora lutea; suture granuloma; salpingitis.

† Epithelial hyperplastic lesions: ovarian surface epithelium or bursal flat hyperplasia (either pseudostratification or real stratified hyperplasia); ovarian surface epithelium or bursal papillae or papillomatosis; inclusion cysts; endosalpingiosis. All these lesions can present with or without atypia.

Abbreviation: cnt., number of lesions, ovaries, or animals.

## RESULTS

## Ovarian Preneoplasia and Neoplasia Induced in Rats with DMBA

Female Sprague Dawley rats were subjected to local application of DMBA/beeswax to their right ovaries in three treatment arms. Their left ovaries were treated as internal controls by application of beeswax alone. To determine the sequence of histologic and molecular changes elicited by DMBA in the ovary, subgroups of animals were sacrificed at various time points, up to 12 months (Supplemental Table 1). Overall, an apparent decrease in volume was evident in the DMBA-treated ovaries in arms 1 and 2. Relative to the control ovaries, the histologic and physiologic integrity of the treated organs was well maintained, with the exception of a small reduction in the rate of follicular development and *corpora lutea* formation (Fig. 1A). In arm 3, as a result of the stimulatory effect of the administered gonadotropin hormones, the reduction in volume of the DMBA-treated ovaries was less apparent. An average 4 to 5-fold larger number of developing follicles and *corpora lutea* was observed in both ovaries, as compared with the ovaries of animals in arms 1 and 2 (data not shown). No other histologic changes were observed during the first 4 to 5 months after DMBA treatment in the ovaries. At 5 to 6 months posttreatment and persisting to the end of the experiment, a number of different types of lesions were observed (Table 1): (a) nonneoplastic lesions (chronic inflammation, foreign body granuloma, prominent *corpora lutea*, suture granuloma, and salpingitis) were found in both DMBA-treated and control ovaries and at a similar frequency; and (b) the appearance of lesions of a putative preneoplastic nature and with a progressive character was observed predominantly in the DMBA-

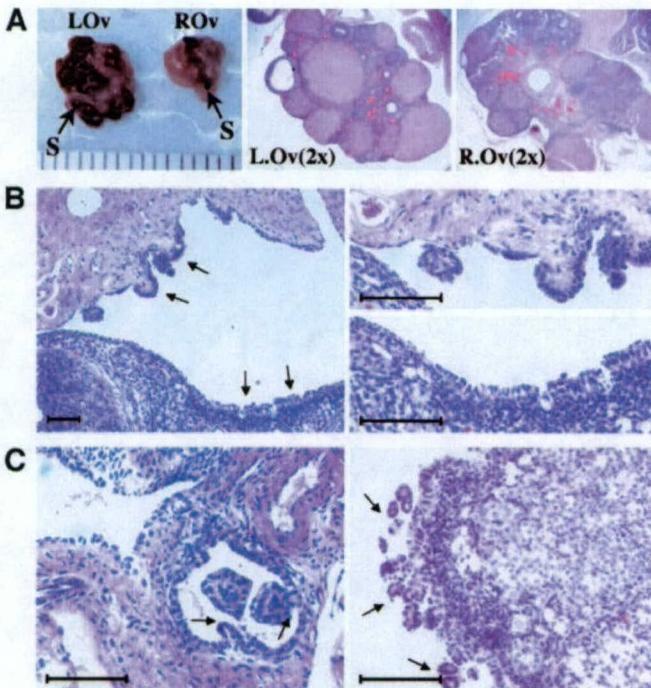


Fig. 1. Putative ovarian preneoplastic epithelial lesions induced by DMBA. A, left panel: beeswax- (L.Ov) and DMBA-treated (R.Ov) whole ovaries; middle and right panels: H&E-stained sections of control (L.Ov) and DMBA-treated (R.Ov) ovaries. B, left panel: ovarian surface epithelial and bursal epithelial hyperplasia (arrows); right panel: higher magnification of portions containing papillary bursal epithelial (top panel) and flat columnar or pseudostratified ovarian surface epithelial hyperplasia (bottom panel). C, left panel: inclusion cyst with papillae. Note two cross-sections of papillae (arrows) inside the epithelial gland-like inclusion cyst. Right panel: advanced epithelial papillary hyperplasia. Note several cross sections of papillary structures on the ovarian surface (arrows). (H&E staining; bar scale: 100  $\mu$ m; S-suture).

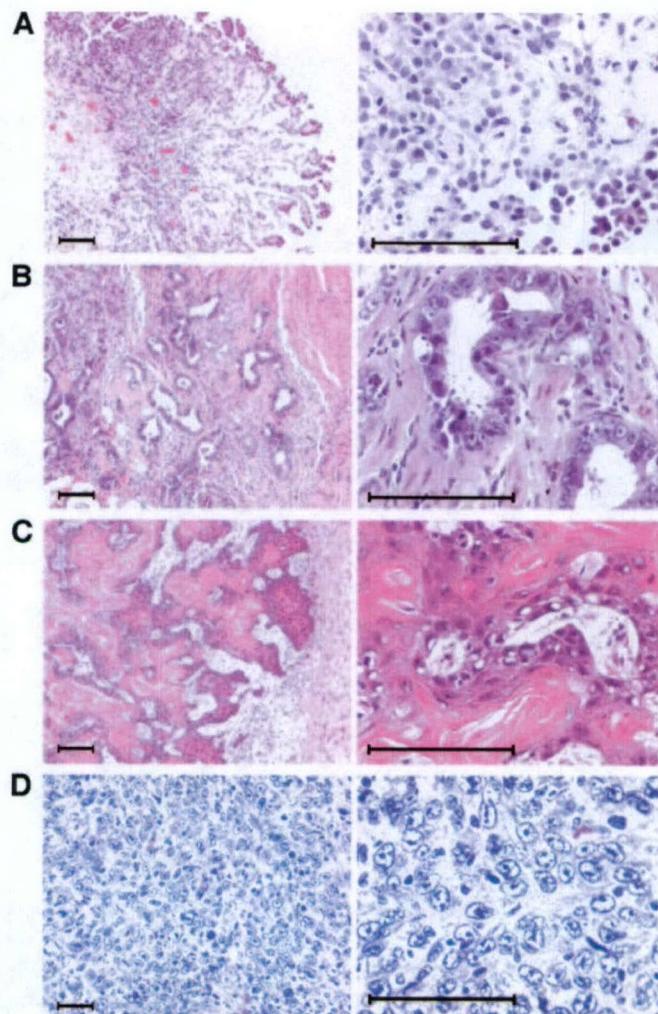


Fig. 2. Neoplastic lesions induced by DMBA in the ovary. A, noninvasive exophytic growth of papillary structures forming a serous low malignant potential tumor on the ovarian surface. Note that the panel to the right shows little or no nuclear atypia of the tumor cells. B, invasive serous adenocarcinoma. The low magnification panel (left) shows invasive gland-like neoplastic structures invading the ovarian cortex. The contiguous panel shows at higher magnification the atypical tumor cells. C, squamous-cell carcinoma invading the ovary. The contiguous panel shows at higher magnification the atypical squamous carcinoma cells. D, undifferentiated carcinoma. The contiguous panel shows at higher magnification the atypical poorly to undifferentiated tumor cells. (H&E staining; bar scale: 100  $\mu$ m, low and high magnification at the left and right, respectively).

treated ovaries (Fig. 1, B and C). These represent proliferative epithelial lesions, present either along the surface of the organ or in the ovarian cortex. Other preneoplastic lesions represent inclusion cysts or simple serous microcysts; other cortical lesions surrounded by ovarian stroma and characterized by the presence of several gland-like structures, usually covered by a simple serous cuboidal epithelium, and some resembling fallopian tube epithelial differentiation (endosalpingiosis). A few preneoplastic lesions exhibit cellular atypia and are classified as epithelial hyperplastic lesions with dysplasia. None of the hyperplastic epithelial lesions are invasive; they are well circumscribed, small, and with low mitotic rate. These characteristic features separate them easily from either borderline ovarian tumors (also known as serous tumors of low malignant potential) or invasive adenocarcinomas and *bona fide* ovarian tumors, detected in arms 1 and 3 only. A tumor highly reminiscent of human serous low malignant potential tumor was detected at 12 months after DMBA treatment in arm 1 (Fig. 2A), an invasive serous adenocarcinoma—at 6 months

in arm 3 (Fig. 2B), a squamous-cell carcinoma—at 9 months, arm 3 (Fig. 2C), and an undifferentiated carcinoma—at 11 months, arm 3 (Fig. 2D).

### Statistics

The cumulative incidence of preneoplastic lesions and *bona fide* tumors in the DMBA-treated ovaries in arm 1 was 22%, whereas in arms 2 and 3 it was 2-fold higher (43.33 versus 44.82%, respectively; Table 1). However, both the preneoplastic lesions and the *bona fide* tumors in arm 3 displayed a more complex, advanced histology relative to those in arms 1 and 2. When all three types of lesions were considered together in each of the three arms, time to sacrifice was not a significant predictor of lesion severity ( $P = 0.356$ ). Thus, the probability that an animal bore a lesion of a specific degree of severity was not observed to depend on how long the animal was allowed to survive before sacrifice. The level of DMBA treatment, however, had a significant effect on lesion severity ( $P < 0.0001$ ). Specifically, the control ovaries had a significantly lower incidence of lesions and at a lower severity than the DMBA ovaries in arms 1, 2 and 3, respectively ( $P < 0.05$ ). Furthermore, the cumulative incidence of preneoplastic lesions and tumors together was significantly higher in arms 2 and 3 as compared with arm 1 ( $P < 0.05$ ); however, there was no significant difference in the incidence of these lesions between arms 2 and 3 ( $P = 0.73$ ).

### Immunohistochemical Characterization of Ovarian Lesions

**Epithelial Cell Origin.** The epithelial cell origin of the preneoplastic lesions and carcinomas was confirmed by their positive anti-cytokeratin immunostaining, characteristic of most types of epithelial cells (Fig. 3), and the negative anti-vimentin immunostaining that detects a variety of mesenchymal cells (data not shown).

**Expression of Estrogen (ER) and Progesterone (PgR) Receptors.** To determine whether ER and PgR play a role during ovarian cancer development in this model, their expression status was examined by immunohistochemistry for ER- $\alpha$  and PgR (A/B). Although the expression of both receptors is low to undetectable in morphologically normal ovarian surface epithelium cells, all tested preneoplastic lesions and the serous low malignant potential tumor are strongly positive for both ER- $\alpha$  and PgR (Fig. 4, A and B, left and middle panels, respectively). The expression of both receptors, however, is either markedly decreased or undetected in the invasive carcinomas (Fig. 4, C and D, left and middle panels, respectively).

**Expression of Tp53.** Anti-Tp53 immunohistochemistry was carried out to determine whether *Tp53* gene mutations leading to loss of function and accumulation of the protein are also induced during ovarian cancer development by DMBA. A strong positive anti-Tp53 immunostaining was detected in the two invasive and the squamous cell carcinomas (Fig. 4, C and D, right panel, and data not shown) but not in the preneoplastic lesions (Fig. 4A, right panel) or the serous low malignant potential tumor (Fig. 4B, right panel).

### Mutation Analysis

**Tp53 Gene.** To examine the mutational status of *Tp53* during ovarian cancer development in this model, genomic DNA was extracted from microdissected normal-appearing ovarian surface epithelium, preneoplastic lesions, tumors, and a control untreated ovary. *Tp53* exons 4 to 8 were PCR-amplified from purified genomic DNA samples with corresponding oligonucleotide primers (Supplemental Table 2). PCR products were subjected to bi-directional sequencing after extraction from agarose gels. Individual *Tp53* mutations were detected in four of the examined preneoplastic lesions and in all tumors (Table 2).

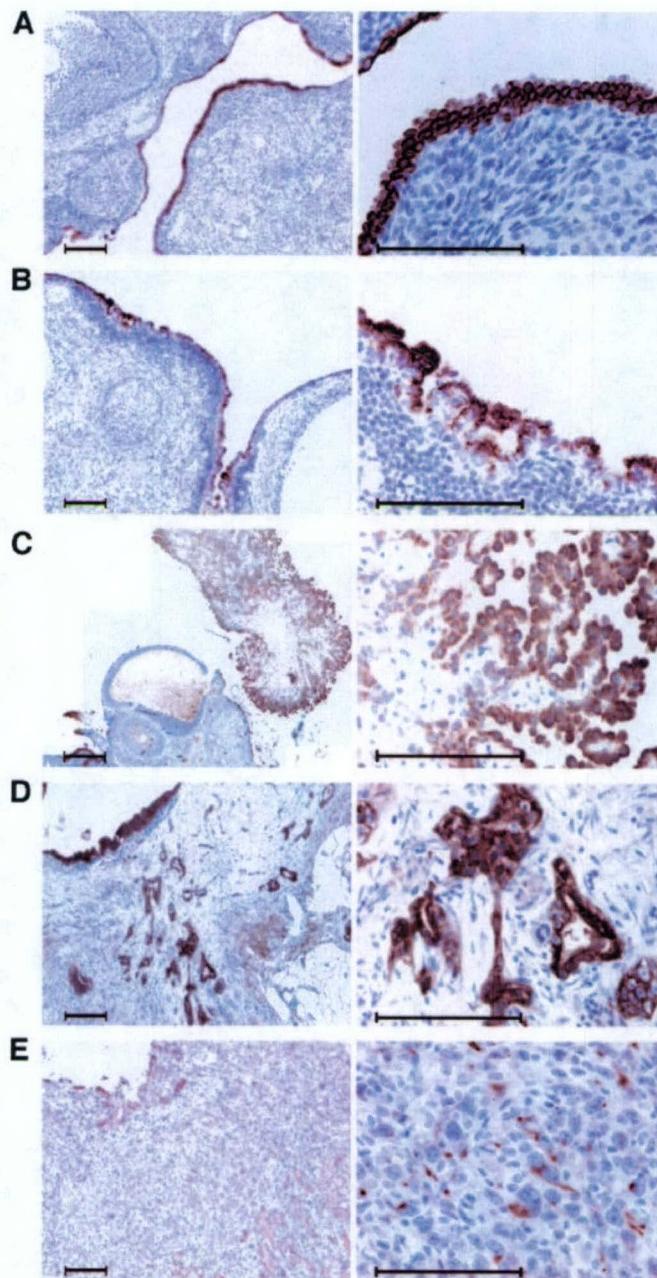


Fig. 3. Cytochrome-positive immunostain in preneoplastic and neoplastic lesions induced by DMBA demonstrate their epithelial origin. Positive cytochrome immunostaining of ovarian surface epithelium flat stratified (A) and papillary hyperplasia (B), serous low malignant potential tumor (C), invasive serous adenocarcinoma (D), and undifferentiated carcinoma (E). (Hematoxylin counterstaining; bar scale: 100  $\mu$ m).

**Ki-Ras Gene.** To determine whether activating mutations of *Ki-Ras* in codons 12, 13, and 61 are associated with ovarian cancer in this model, genomic DNA, purified as for *Tp53* analysis, was used for PCR amplification with corresponding oligonucleotide primers (Supplemental Table 2). PCR products were subjected to diagnostic restriction digest with BSS SI (for codon 61) and bi-directional sequencing after purification from agarose gels. Only mutation of codon 61 (CAA  $\rightarrow$  CAC; protein Gln  $\rightarrow$  His) was identified in this rat model and was present in 4 of the 12 examined preneoplastic lesions (Table 2) and in the invasive adenocarcinoma.

**PgR.** The presence or absence of an activating mutation of PgRs at codon 660 was also examined in extracted genomic DNA, with PCR

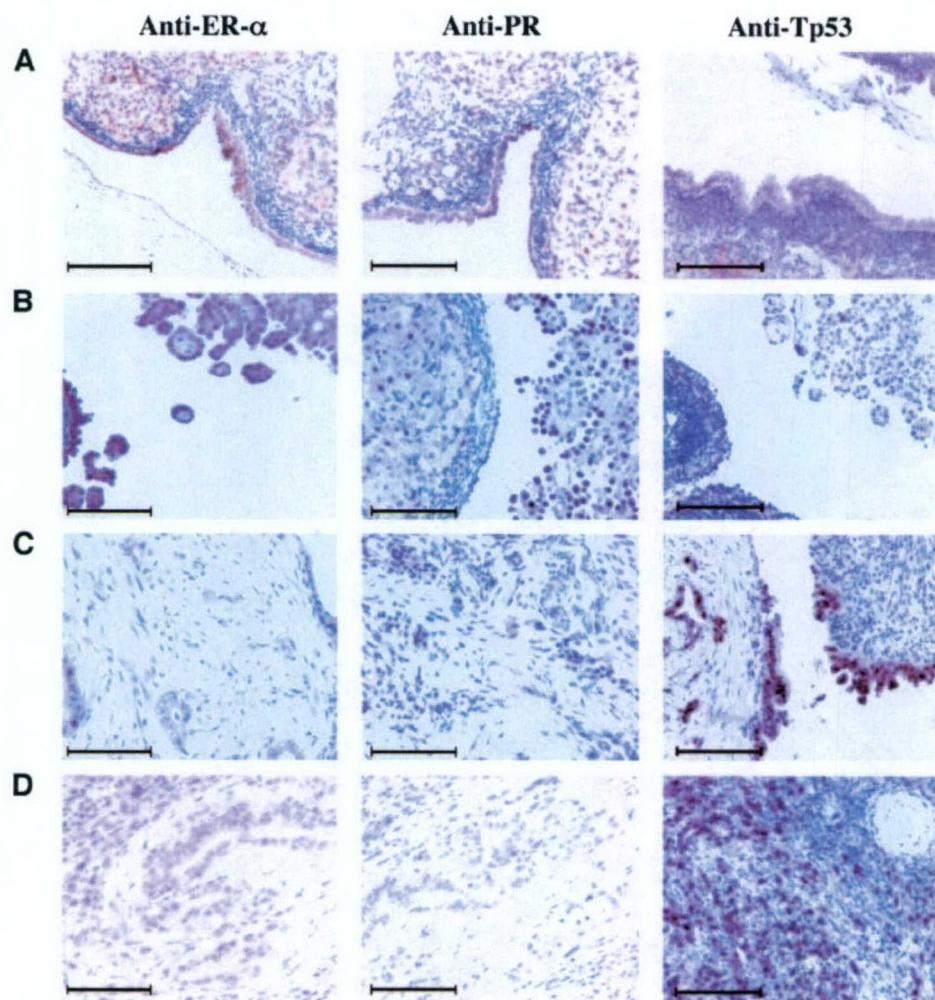


Fig. 4. ER- $\alpha$ , PgR, and Tp53 expression in putative preneoplastic and neoplastic ovarian lesions induced by DMBA. Left panel: anti-ER- $\alpha$ ; middle panel: anti-PgR; and right panel: anti-Tp53 immunostaining of (A) DMBA-treated ovaries containing epithelial flat and papillary hyperplasia, (B) serous low malignant potential tumor, (C) invasive serous adenocarcinoma, and (D) undifferentiated carcinoma. Note that the ER- $\alpha$  and PgR immunostains are markedly decreased in C and D and that Tp53 immunostain is markedly decreased or absent in A and B. (Hematoxylin counterstaining; bar scale: 100  $\mu$ m).

amplification with corresponding oligonucleotide primers and diagnostic restriction digest with Tsp RI (Supplemental Table 2). Such mutation was not detected in any of the examined lesions.

## DISCUSSION

This study attempted to additionally improve the DMBA-rat model of ovarian oncogenesis and characterize the distinct stages of preneoplasia and neoplasia. The contribution of gonadotropin hormones to this process was also demonstrated. DMBA treatment of the ovary induces putative preneoplastic lesions of epithelial cell origin and with

progressive histology that are assumed to represent precursors of ovarian cancer clonal development. Given the difficulties in obtaining a consensus on what human ovarian preneoplastic or precursor lesions are, an attempt was made to classify the putative precursor lesions of the rat ovary with terminology used for human ovarian epithelial lesions. The lesions observed in the rat ovary represent proliferative epithelial lesions of variable degrees of differentiation, without or with dysplasia, and localized along the ovarian surface and cortex. Some of the lesions, especially those seen on the surface, are similar to isolated papillae or diffuse papillomatosis seen in human ovaries. In addition, there are occasionally other ovarian surface epithelium-

Table 2 Mutations detected in the Ki-Ras and Tp53 genes in DMBA-induced preneoplastic and neoplastic ovarian lesions in the rat

Type of lesion (cnt.)	Ki-Ras Codon 61 CAA $\rightarrow$ CAC (cnt.)	Tp53 mutations					
		Rat codon (Exon)	Human codon	Mutation: DNA	Mutation: protein	Prevalence in human ovarian cancer	Protein accumulation
OSE/Bursal epithelial papillae (3)	Yes (2)	224 (6)	226	GTG $\rightarrow$ GCG	Val $\rightarrow$ Ala	ND	ND
OSE/Bursal epithelial papillae with dysplasia (2)	Yes (2)	ND	N/A	N/A	N/A	N/A	ND
Papillomatosis (3)	ND	207 (6)	209	AGG $\rightarrow$ CGG	Silent (Arg)	ND	ND
Inclusion cysts with papillae (4)	ND	209 (6)	211	ACT $\rightarrow$ ATT	Thr $\rightarrow$ Ile	Yes: 0.39%	ND
		178 (5)	180	GAA $\rightarrow$ GGA	Glu $\rightarrow$ Gly	ND	ND
Low malignant potential (LMP) tumor	ND	255 (7)	257	Deletion ATC	Ile	Yes: 0.39%	ND
Squamous cell carcinoma	ND	151 (5)	153	CCT $\rightarrow$ TCT	Pro $\rightarrow$ Ser	Yes: 0.1%	Yes
Cystadenoma and invasive adenocarcinoma	Yes	218 (6)	220	CAG $\rightarrow$ CGG	Gln $\rightarrow$ Arg	Yes: 2.4%	Yes
Undifferentiated carcinoma (invasive)	ND	173 (5)	175	CGC $\rightarrow$ CTT	Arg $\rightarrow$ Leu	Yes: 6.8% other GYN cancer: 17.6%	Yes

Abbreviations: ND, not detected; N/A, not applicable; GYN, gynecological; cnt., number of lesions from independent ovaries tested for mutation.

derived structures that were previously described in humans, *i.e.*, inclusion cysts or simple serous microcysts. None of the observed hyperplastic epithelial lesions are invasive and are quite distinct from either serous low malignant potential ovarian tumors or invasive carcinomas. The development of the putative precursor lesions generally precedes the emergence of *bona fide* tumors, which also display variable degrees of differentiation and progression, ranging from early tumors to high-grade malignant, invasive carcinomas. In addition to the tumors detected in this study, a bilateral invasive carcinoma with clear-cell histology was detected within 12 months in an animal whose ovaries were treated bilaterally with  $\sim 5 \mu\text{g}$  of DMBA (not part of the three study arms). This advanced tumor displayed widespread dissemination to i.p. organs, production of ascites, and metastatic hemorrhagic foci in the lungs (data not shown).

Statistically, the appearance of lesions of any given severity did not depend significantly on the time of sacrifice after DMBA treatment; however, escalation of carcinogen dose combined with hormonal stimulation increased significantly the severity of the detected lesions. The cumulative incidence of preneoplastic lesions and tumors was also equivalently increased significantly at the higher DMBA dose in arms 2 and 3. Although the lesion incidence in arms 2 and 3 was similar, the lesions detected in arm 3 were more advanced than those in arm 2, including *bona fide* tumors that were not observed altogether in arm 2. This data demonstrates the strong contribution of gonadotropin hormones to the neoplastic progression of the ovarian lesions, perhaps due to increased ovarian surface epithelium cell proliferation and their effects on the underlying stroma. As demonstrated earlier, treatment of rats with pregnant mare's serum gonadotropin and/or human chorionic gonadotropin, in the presence or absence of surgical scarring to the ovary, leads to a 5 to 10-fold increase in the rate of ovarian surface epithelium cell proliferation (26).

The observed DMBA-induced reduction in ovarian volume, accompanied by decreased follicular growth and *corpora lutea* formation, is in good agreement with previously published data (28). The apparent differences in the observed low-dose response and persistence of ovarian hypoplasia in this study may be due to the slow-release form of DMBA applied directly to the ovary. Although not yet well understood in its full complexity, a suggested mechanism underlying the observed ovarian hypoplasia and cellular destruction is that DNA-adduct formation by DMBA metabolites leads to *Tp53*-mediated inhibition of DNA synthesis, cell growth arrest, and caspase-dependent or independent apoptosis (29–31). Hence, DMBA-induced mutation(s) that disrupt *Tp53* function may allow evasion of affected ovarian surface epithelium cells and contribute to their malignant transformation.

Nonneoplastic and a small number of preneoplastic lesions, as well as a small granulosa cell tumor were also detected in control ovaries. To determine whether such lesions occur spontaneously in this rat strain, 20 nontreated animals were divided in two groups of 10 and maintained to the age of 8 and 14 months, respectively. Examination of their ovaries revealed no significant lesions, which strongly suggests that the lesions observed in the control ovaries may be a consequence of surgical scarring and chronic inflammation, and/or carcinogen carryover from the contralateral ovary. This data indicates that chronic inflammation, a known risk factor of ovarian cancer, may contribute to the DMBA-induced neoplastic process, either directly on epithelial cells through the action of secreted inflammatory cytokines and growth factors or indirectly through their effect on the adjacent stroma.

This study has additionally demonstrated that specific mutations in the *Tp53* and *Ki-Ras* genes, which are among the most frequent mutations found in human ovarian tumors, are also associated with ovarian cancer induced by DMBA. *TP53* mutations are found in 35 to

40% of human ovarian tumors (32–34). The identified rat *Tp53* mutations of codons 173 and 218 correspond to human codons 175 and 220, respectively, which are among the most frequent in human ovarian cancer (6.8% and 2.4, respectively).<sup>3</sup> Interestingly, both mutations lead to a characteristic accumulation of *Tp53* protein. Activating mutations of *Ki-Ras*, including codon 61 detected in multiple DMBA-induced preneoplastic lesions and in one carcinoma, have been associated with  $\sim 20\%$  of human ovarian tumors: of them,  $\sim 60\%$  are found in mucinous and  $\sim 20\%$  in serous carcinomas (35, 36). The relatively high frequency of *Ki-Ras* mutations in the preneoplastic lesions and, especially, in the ones with dysplasia provides a strong indication of their clonal (*i.e.*, neoplastic) nature. It additionally argues that *Ki-Ras* activation, either through mutation or by aberrant upstream signals, is very important during ovarian cancer development. Finally, a significant overexpression of the ER- $\alpha$  and PgR proteins was also demonstrated in the preneoplastic lesions and the serous low malignant potential tumor. However, the expression of the two receptors was markedly decreased or absent in the advanced carcinomas. The importance of this finding, in view of the existing controversy over the expression status of ER- $\alpha$  and PgR in human ovarian cancer (37, 38), mandates additional investigation. Furthermore, the Val<sup>660</sup>Leu polymorphism that frequently occurs in exon 4 of PgRs has been suggested to have an association with human ovarian cancer characteristics and with overall ovarian cancer risk (39). Population-based studies, however, have demonstrated that no such association exists (40, 41). Lack of this PgR mutation in the examined ovarian lesions is additional evidence to the consistency of the DMBA rat ovarian cancer model with the human disease.

DMBA is a pluripotent carcinogen, which, through the formation of DNA adducts, induces initiating point mutations that alter the expression and/or activity of a number of oncogenes and tumor suppressor genes (42–45). Although DMBA itself is not a known environmental carcinogen associated with ovarian cancer, it shares similar mutagenic mechanisms with other polycyclic aromatic hydrocarbons whose abundance is relatively high in air pollutants and in tobacco smoke and which have been implicated in human cancer development (46, 47). Hence, the observed effect of DMBA in the ovary may be representative of the effect that such carcinogens have in the ovaries of affected women.

Here, we have demonstrated that direct application of a low dose of DMBA in the rat ovary, alone or combined with multiple cycles of gonadotropin administration, elicits a neoplastic process that affects mostly the ovarian surface epithelium and leads to the progressive development of putative epithelial cell preneoplasia, serous low malignant potential tumors, and invasive carcinomas. The similarity in histology and path of dissemination of the DMBA-induced rat ovarian carcinomas with those in the human, as well as the presence of gene mutations that are common in human ovarian cancer, demonstrate the validity of this animal model for additional delineation of the mechanisms underlying ovarian tumorigenesis. Finally, DMBA-induced ovarian oncogenesis in the rat could be used to preclinically test new agents for the prevention and/or therapy of the disease.

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